

HR: Human Resources

Introduction

Calderdale Metropolitan Borough Council is required by the Lord Chancellor's Code of Practice on the Management of Records (S.46, Freedom of Information Act 2000) to have records retention schedules. Retention schedules must identify and describe records to which retention rules can be applied to help ensure records are kept for business, regulatory and accountability purposes and disposed of when no longer needed.

CMBC's Records Management Policy places responsibility with Head of Service for ensuring there are written retention rules for the records their service creates and/or receives. This retention and disposal schedule has been produced in consultation with the service area primarily responsible for these records. Where appropriate, several retention schedules may have been collated together according to top-level functions by the information governance team to assist with managing the schedules.

Upon reaching the end of an agreed retention period a record should either be securely disposed of or reviewed to determine if it is necessary to continue to retain the record. If it is deemed necessary to retain a record beyond an agreed retention period this decision should be documented and a new review date assigned.

When a record is disposed of this must be recorded on a disposal register. Disposal registers act as control documents to help evidence why records created by the organisation no longer exist or are no longer under their control. The level of detail needed on a disposal register will depend on the type of record being disposed of, however it should be possible to evidence that a specific type of record, within a specific age range, was disposed of as part of a routine records management process.

Quick View

HR Human Resources

HR1	Human Resource Strategy	3
	HR1.1 Employee Relations	3
	HR1.2 Terms and Conditions	3
	HR1.3 Pay and Grading	4
	HR1.4 Trade Union Liaison	4
	HR1.5 Organisational Structure	4
HR2	Human Resources Management	5
	HR2.1 Absence Reporting	5
	HR2.2 Occupational Health	5
	HR2.3 Personnel Records	6
	HR2.4 Performance Management	6
	HR2.5 Secondments and Career Breaks	7
	HR2.6 Leave, Flexi and Strike Action	8
	HR2.7 Leaving Employment	9
	HR2.8 Emergency Contact Information	9
	HR2.9 Staff Benefits	9
	HR2.10 Staff Recognition	9
HR3	Recruitment	10
	HR3.1 Job Evaluation	10
	HR3.2 Job Descriptions & Person Specifications	10
	HR3.3 Recruitment Process	10
HR4	Training and Development	11
	HR4.1 Induction	11
	HR4.2 Training Records	12
	HR4.3 Organisational Development Documents	12
	HR4.4 Workforce Reports, Audits and Evaluations	13
HR5	Payroll	14
	HR5.1 Payroll Records	14
	HR5.2 Accountable Processes	14
	HR5.3 Payroll Processing Documents	15
	HR5.4 Non-accountable Processes	15
	HR5.5 Payroll – Operational Spreadsheets	15
	HR5.6 BI and HR Payroll generated reports to support payroll processing	16
HR6	Pension	17
	HR6.1 Pensions Fund Contributions and Returns	17
	HR6.2 Payroll – Operational Purposes	17
HR7	Traded Services	19
NOTES		20
Version Control		21

Ref	Document Type	Description	Retention reason	Retention Period	Disposal Action	Storage / Actions / Notes
HR	Human Resources					
HR1	Human Resource Strategy					
HR1.1	Employee Relations					
HR1.1.1	Casework – Formal - Disciplinary records - Grievance records - Capability records - Probation records - Attendance Management	Record relating to formal casework records that do not involve allegations regarding safeguarding	Limitation Act 1980	Date of Termination + 6 years	SECURE	Informal Disciplinary – Manager to retain locally
HR1.1.2	Casework regarding safeguarding allegations: - Disciplinary records - Grievance records	Records relating to formal casework records regarding safeguarding allegations	Keeping children safe in education 2019, Part 4 - paragraph 222. West Yorkshire Protocol into Allegations against Staff Working with Children	Allegations regarding safeguarding – retain until normal pension age or for a period of 10 years from the date of the allegation if that is longer. * Refer to the 'Notes' section at end of this document for more details.	SECURE	For allegations regarding safeguarding: details of allegations that are found to have been malicious should be removed from personnel records. However, for all other safeguarding allegations, it is important that a clear and comprehensive summary of the allegation is kept. See Keeping children safe in education 2019, part four, paragraph 220 for more details. See also West Yorkshire Protocol into Allegations against Staff Working with Children – S.13 Confidentiality and Record Keeping
HR1.1.3	Summary reports relating to Disciplinary, Grievance, Capability, Probation, Attendance Management			Destroy maximum of 5 years after last administrative use	SECURE	
HR1.1.4	Coronavirus (COVID-19) Individual Employee Questionnaire	Record relating to the management of provision for staff as part of the COVID-19 pandemic	Limitation Act 1980	Date of creation of record +6 years	SECURE	Local Manager and HR Advisory
HR1.2	Terms and Conditions					
HR1.2.1	Information relating to the general terms and conditions of employment with the council		Business need	Date terms and conditions are superseded + 85 years		HR Advisory / Contracts and Payroll
HR1.2.2	Employment Policies including Code of Conduct	Employment Policies, Practices and Procedures (including Intranet versions)	Business need	Permanent – electronic archive copies to be retained by HR.		HR Advisory No Personal Information

Ref	Document Type	Description	Retention reason	Retention Period	Disposal Action	Storage / Actions / Notes
HR1.3	Pay and Grading: Management of Pay Scales and Grading Structures					
HR1.3.1	Information relating to pay scales		Limitation Act 1980; Employment practices Data Protection Code Part 1: Recruitment and Selection (March 2002) section 2.1	Date superseded + 85 years		HR Contracts and Payroll No Personal Information
HR1.4	Trade Union Liaison					
HR1.4.1	Trade Union Liaison	Information about matters relating to the relationship with recognised unions.	Good Business Practice	Destroy 3 years after final action / administrative use completed	SECURE	HR Advisory
HR1.4.2	Trade Union Agreements			Destroy 85 years from date of agreement	SECURE	
HR1.4.3	Notice of Trade Union Representatives including Learning Representatives		The Trade Union and Labour Relations (Consolidation) Act 1992 Section 168A	If placed on electronic personnel file, retain for date of termination + 6 years	SECURE	HR Advisory
HR1.5	Organisational Structure					
HR1.5.1	The reporting structure of the Authority and posts within the structure		Good Business Practice	Retain whilst relevant. Destroy maximum of 3 years after final action / administrative use completed		No Personal Information
HR1.5.2	Restructures: delegated decision notification form and associated (Cabinet) report		National Archive Guidance	Keep for 6 years from the end of the year in which decision taken, then offer to West Yorkshire Archiving Service		HR Advisory and HR Contracts & Payroll
HR1.5.3	Restructures / Reviews: Notes of meetings / Consultation Action Plans and timescales		Limitation Act 1980	+ 6 years	Restricted	Local Manager and HR Advisory If employee secures a new post. Advisory team in conjunction with local manager to remove duplicates before scanning to electronic filing system. If employee leaves, retain key records only (summary) and upload to electronic filing system
HR1.5.4	Outcome letters			Date of termination + 6 years	SECURE	

Ref	Document Type	Description	Retention reason	Retention Period	Disposal Action	Storage / Actions / Notes
HR2	Human Resources Management					
HR2.1	Absence Reporting					
HR2.1.1	Sickness Reports			Destroy maximum of 5 years after final action	SECURE	
HR2.2	Occupational Health					
HR2.2.1	Health Surveillance records	Occupational Health Case files for staff requiring health surveillance with hazardous risks including Biological Agents, Chemicals, Asbestos, Compressed Air and Radiation or those working with vibrating equipment	Control of Asbestos at Work Regs 1996; Work in Compressed Air Regs 1996. Control of Substances Hazardous to Health (COSHH) Regs 1997 and 2002; Reporting of Injuries Diseases and Dangerous Occurrences Regs 1995 (RIDDOR).	Date of termination + 40 years	SECURE	Local Manager to send any relevant records to OH. OH to review when employee leaves the Authority to ensure accurate disposal and review date placed on file, scan to electronic filing system.
HR2.2.2	Occupational Health case files where none of the above legislation applies	Occupational health case files for staff referred to OH by line manager	Recommendation from the RCN and the Faculty of Occupational Medicine	Date of termination + 6 years	SECURE	Electronic filing system
HR2.2.3	Hepatitis B Forms		Control of Substances Hazardous to Health (COSHH) Regs 2002	Date of termination + 40 years	SECURE	Electronic filing system
HR2.2.4	Pre-employment Health questionnaires: <u>successful candidates</u> who take up post		Limitation Act 1980; Employment Practices Data Protection Code part 1; Recruitment and Selection 2002.	Date of termination + 6 years	SECURE	If any queries arise on form or any 'yes' answers, Recruitment to send to OH team. If not, Recruitment forward to HR Contracts & Payroll to upload to electronic filing system. This may be relevant to on-going employment if actions have arisen that relate to the initial health questionnaire, depending on circumstances.
HR2.2.5	Pre-employment Health questionnaires: <u>unsuccessful candidates</u> or those who do not take up post			Date of decision + 6 months		
HR2.2.6	Fitness for Work Medicals	School Crossing Forms Driver Medical Forms Night worker Medical Forms		Date of termination + 6 years	SECURE	

Ref	Document Type	Description	Retention reason	Retention Period	Disposal Action	Storage / Actions / Notes
HR2.2.7	Occupational Health reports	Records of visits and meetings, details of managing attendance stages and hearings, correspondence, return to work notes	Limitation Act 1980	Destroy maximum of 2 years after last administrative use	SECURE	Local Manager, then HR Advisory while matter live. Not stored by OH, stored by HR.
HR2.2.8	Personal Risk Assessments including restrictions, i.e. cannot lift or desk work only			Local manager review after current year + 3 years and every 4 years after, destroy if no longer relevant to ongoing employment. If part of OH case file see above.	SECURE	Local manager, OH where relevant Guidance to be created for local managers.
HR2.3	Personnel Record					
HR2.3.1	Personnel file held centrally by HR	Records relating to an individual's employment history, including working time regulations-opt out, disclosure of interest held centrally by HR. Personnel record does not include appraisals, shared conversations, one to one records or supervision records.	Working Time Regulations 1998; SI 1998 No. 1833 Reg 5 & 9. Limitations Act 1980	Date of termination + 6 years except for Right to Work evidence which is kept for Length of Employment + 2 years.	SECURE	These records to be retained by HR. These records to be kept locally.
HR2.3.2	Staff information retained by Children's Residential Services to meet Section 37 requirements	Information retained by children's residential services for the purposes of complying with s.37, schedule 4 of the Children's Homes Regulations 2015	Children's Homes Regulations 2015	See Children's Services retention schedule See Notes for more information.		
HR2.4	Performance Management					
HR2.4.1	Supervision: records of staff supervision <u>relating to the case work of social care employees.</u>	Records of staff supervision <u>relating to the case work of social care employees.</u> Records of case work supervision for social care professionals. Notes relating to case work should be added to the relevant case work file.		Date of termination + 5 years <u>Do not send to HR</u>	SECURE	Local Manager to ensure added to relevant social care record and date of completion logged on HR & Payroll System. Active/open supervision for staff to be kept in operational office. Once staff member becomes a leaver paper supervision records can be sent to the CMBC Archive. Where supervision records for a leaver is electronic, records to be retained centrally by CYPs. See: Supervision / 1:1 Policy for Adults and Children's Services (Feb 2018).

Ref	Document Type	Description	Retention reason	Retention Period	Disposal Action	Storage / Actions / Notes
HR2.4.2	One-to-one / appraisal / routine supervision notes, shared conversations	One-to-one / appraisal / routine supervision notes, shared conversations (not including those related to the case work of Social Care staff). Does not include sickness reviews, probation reports or performance plans		Max 2 years then review. Retain performance records for as long as relevant to the ongoing employment.	SECURE	Local manager to retain and log date of completion on HR & Payroll System. There may well be service specific retention rules. This document is intended to be a guidance – please refer to your service area retention document.
HR2.5	Secondments and Career Breaks					

Ref	Document Type	Description	Retention reason	Retention Period	Disposal Action	Storage / Actions / Notes
HR2.5.1	Secondment records – internal	Employee records when a secondment <u>within</u> the Authority occurs	Good Business Practice	Date of termination + 6 years	SECURE	Personal File retention – these refer to local copies whilst secondment is live.
	Secondment records – external	Employee records when a secondment occurs <u>outside</u> the Authority	Good Business Practice	Date of termination + 6 years	SECURE	Records about the secondment process and agreement to be retained by line manager during the secondment period.
	Secondment records – external into the authority	Records of secondment of external staff <u>into</u> the Authority	Good Business Practice	Date of termination + 6 years	SECURE	<p>At the end of the secondment period, all secondment information to be sent to HR Contracts and Payroll</p> <p>Wherever the employee is working, the line manager assumes responsibility for ensuring relevant records are created, retained. At the end of the secondment, line manager is to send records to HR.</p> <p>HR Contracts and Payroll to maintain the Personnel file if the employee will return to the Council to work. External organisation to be responsible for employee records. When the secondment ends, discussion should take place between external organisation and CMBC – organisations are jointly responsible for agreeing who should maintain records.</p> <p>Local Manager to send records to HR Contracts and Payroll. When employee returns to original organisation and leaves CMBC, retain only records needed for payroll / pensions reasons. If request for information received from originating organisation, process as per any other information request in line with legislation e.g. Data Protection Act 2018.</p>
HR2.5.2	Sabbatical/Career Breaks		Good Business Practice	Date of termination + 6 years	SECURE	HR Contracts and Payroll Retain on electronic filing system.
HR2.6	Leave, Flexi and Strike Action					
HR2.6.1	Annual leave records, flexi sheets and special leave		Working Time Regs 1998; SI 1998 No 1833 Regs 5(4) & 9(b)	For Audit purposes, local manager to review employee files every 2 years.	SECURE	<p>Local Manager to retain record on HR and Payroll system and check information is correct on a regular basis.</p> <p>Local manager can retain these for a max</p>

Ref	Document Type	Description	Retention reason	Retention Period	Disposal Action	Storage / Actions / Notes
						of 2 years
HR2.6.2	Actirecs records	System maintained by IT				
HR2.6.3	Leave: Adoption, Maternity or Paternity leave.	Adoption, maternity, or paternity leave – notifications, checklists, entitlement records, certificates, return to work records		Date of termination + 6 years	SECURE	HR Contracts and Payroll. Retain on electronic filing system. Original copies not to be kept locally.
HR2.6.4	Leave: Unpaid leave.	Unpaid leave periods, records of unauthorised absence		Date of Termination + 6 years	SECURE	HR Contracts and Payroll. Retain on electronic filing system.
HR2.6.5	Leave: Sick leave.	Sickness absence records, return to work notes	Good Business Practice	Date of Termination + 6 years Sickness dates retained 85 years for pension purposes	SECURE	Local manager to enter / upload these to HR & Payroll System
HR2.6.6	Medical certificates and Self Certificates	Medical and self certificates: presented in line with sickness reporting procedure.	HMRC purposes	Date of Termination + 6 years	SECURE	Local manager to upload a scanned copy to HR & Payroll system. Original returned to employee.
HR2.6.7	Strike Action	Records relating to strike action that employee participated in and related deductions and pension issues	Employment Act 2002 Schedule 2; The Employment Rights Act 1996 Section 92 (4A)	Date of Birth + 85 years	SECURE	HR Contracts and Payroll Retain record on electronic filing system.
HR2.7	Leaving Employment					
HR2.7.1	Employee leaver documents	Records related to an employee leaving	Employment Act 2002 Schedule 2; The Employment Rights Act 1996 S. 92 (4A)	Retain letter of dismissal, redundancy, or resignation for date of termination + 6 years; evidence of leaving date etc. stored on electronic filing system. Employment dates stored on HR & Payroll system for DOB + 85 years for pension purposes.	SECURE	HR Contracts and Payroll
HR2.7.2	Records relating to voluntary severance or early retirement, or ill health retirement		Employment Act 2002 Schedule 2; The Employment Rights Act 1996 Section 92 (4A)	Date of birth + 85 years except if employees not in pension scheme then date of termination + 6 years.	SECURE	HR Contracts and Payroll – electronic personnel file
HR2.8	Personal Information relating to individual members of staff: Emergency Contact Information					
HR2.8.1	Emergency Contact Information – Principal copy held on HR & Payroll system	An employee's emergency contact details		Date of termination	SECURE	Managers may retain a local copy for emergency purposes only
HR2.9	Staff Benefits					
HR2.9.1	Staff benefit scheme details	Processing application etc., e.g. discounted memberships; Metrocard discount scheme	Good Business Practice	Destroy after last administrative use.		HR Advisory
HR2.10	Staff Recognition					

Ref	Document Type	Description	Retention reason	Retention Period	Disposal Action	Storage / Actions / Notes
HR2.10.1	Our Stars Event	Nomination Forms, Panel notes/decisions and photographs	Business requirements and Good Practice	Nomination Forms, Panel notes/decisions – 6 months after last administrative use. Photographs – 18 months as required for following year's publicity.	SECURE	Dependent on photographers licence agreement and photo consent.
HR2.10.2	Long Service Awards		Good Business Practice	Keep records of current and previous 7 years' schemes	SECURE	

Ref	Document Type	Description	Retention reason	Retention Period	Disposal Action	Storage / Actions / Notes
HR3	Recruitment					
HR3.1	Job Evaluation					
HR3.1.1	Records relating to job evaluation.		Limitation Act 1980	Retain for 3 years after administrative use		HR Advisory No personal data
HR3.2	Job Descriptions and Person Specifications					
HR3.2.1	Job profiles including job descriptions and person specifications		Local manager may keep a copy. Copy to be sent to HR Contracts and Payroll for personnel file	Keep up to date; retain superseded versions for 7 years.		Held by Recruitment. Copy kept on employee's electronic personnel file.
HR3.3	Recruitment Process					
HR3.3.1	Appointment of Adoption Manager		Adoption and Children Act 2002 – reg. 10	Date created + 100 years	SECURE	
HR3.3.2	Job advertisements	Job advertisements for a particular post / vacancy and related documents		Keep for administrative use		Recruitment (T:drive) No personal information
HR3.3.3	Recruitment - Unsuccessful applicants:	Records related to DBS applications / checks, proof of right to work, application details, interview notes, shortlisting details, interview questions etc.	Good Business practice	Destroy DBS records and proof of right to work as soon as decision is taken. All other records destroy 6 months after date of decision.	SECURE	Recruitment Managers to return recruitment records to recruitment team once selection exercise is completed.
HR3.3.4	Successful applicants: Application details	Completed application form and application details	Employment practices data protection Code Part 1: Recruitment and Selection (March 2002)	Termination date + 6 years	SECURE	Transfer to personnel file HR Contracts and Payroll – electronic filing system

<i>Ref</i>	<i>Document Type</i>	<i>Description</i>	<i>Retention reason</i>	<i>Retention Period</i>	<i>Disposal Action</i>	<i>Storage / Actions / Notes</i>
HR3.3.5	Recruitment - Successful applicants - DBS checking of staff:	Records related to DBS applications / checks where applicant cleared to work	Limitation Act 1980	DBS application retained on eBulk platform. Completed DBS applications are retained 1 year and then purged of all but essential personal / sensitive data to form a skeleton record to evidence the original application was processed. Skeleton record retained for a further 7 years.	SECURE	
HR3.3.6	Recruitment - Successful applicants: Right to work information	Copy of documents taken as part of right to work evidence	https://www.gov.uk/check-job-applicant-right-to-work	Termination date + 2 years	SECURE	Local managers to send recruitment records to recruitment team once recruitment is completed.
HR3.3.7	Recruitment Pack: Successful applicants: Vetting (e.g. references)	Information gathered for vetting exercises (for example, references)	Employment practices data protection Code Part 1: Recruitment and Selection (March 2002)	Termination date + 6 years	SECURE	Transfer to electronic personnel file
HR3.3.8	Recruitment Pack: Interview details acceptance letter	Interview notes, shortlisting records, interview questions, panel details	Good Business practice	Termination date + 6 years	SECURE	HR Contracts and Payroll Transfer to electronic personnel file
HR3.3.9	Recruitment Pack: Successful applicants: Accepted offer and contract	Accepted offer and contracts of Employment, letter of acceptance	Good Business practice	Termination date + 6 years	SECURE	HR Contracts and Payroll Transfer to electronic personnel file

<i>Ref</i>	<i>Document Type</i>	<i>Description</i>	<i>Retention reason</i>	<i>Retention Period</i>	<i>Disposal Action</i>	<i>Storage / Actions / Notes</i>
HR4	Training and Development					
HR4.1	Induction					
HR4.1.1	Records relating to employee induction	Completed and Signed Employee Induction Pack, Future Steps Induction Pack, Service Specific Induction Documents	Limitation Act 1980	Date of termination + 6 years	SECURE	Managers to send to HR Contracts and Payroll – Upload to electronic filing system
HR4.4.2	Health and Safety Induction	Induction Checklist	Data Protection Act 2018; Business requirements	Date of termination + 6 years	SECURE	Managers to send to Health & Safety Team to log and retain records. Workforce Development log completion on HR & Payroll System.

<i>Ref</i>	<i>Document Type</i>	<i>Description</i>	<i>Retention reason</i>	<i>Retention Period</i>	<i>Disposal Action</i>	<i>Storage / Actions / Notes</i>
HR 4.2	Training Records					
HR4.2.1	Training Records – all training except where indicated below	These can include: certificates of achievement, learning agreements, applications (LD form) and business cases for learning and development, record of attendance at Council and external courses, completion of induction programmes	Data Protection Act 2018; Business requirements	Date of termination + 6 years	SECURE	Under review
HR4.2.2	Health and Safety Training Records relating to health related matters such as HAVS, Noise, Asbestos And Pesticides.		Health and Safety at Work Act, plus any subordinate regulations	Date of termination + 40 years (40 years to meet insurance purposes, as health related defects can arise up to 40 years after exposure).	SECURE	Under review
HR4.2.3	External Participant Records	Application forms, e-mail applications and cancellations. Contains personal details of the applicants to enable booking and charging. Record maintained on HR & Payroll System.	Data Protection Act 2018; Business requirements	Current financial year + 6 years	SECURE	Invoicing is completed where charging applies for training and non-attendance as detailed in terms and conditions of booking.
HR4.2.4	Attendance Registers	Record of attendance to course, usually comprising of individuals' signatures.	Financial Record	Current financial year + 6 years	SECURE	Updated to HR & Payroll System records when received by Workforce Development. Paper record kept for 1 year then scanned to electronic filing system.
HR4.3	Organisational Development Documentation					
HR4.3.1	Coaching/Mentoring	<p>Spreadsheet of participants</p> <p>Coaching evaluations</p> <p>Coaches notes and documentation</p>	Business requirements	<p>Identifiable participant details kept for period of coaching then anonymised unless in cases relating to capabilities or HR development plan where they are kept for a period of 6 years after the coaching relationship ends.</p> <p>Coaching evaluations kept for a period of 12 months after the coaching relationship ends to aid with coach supervision and developing the coaching programme.</p> <p>Coaches notes kept for their reference only during period of coaching then deleted/ disposed of unless in cases relating to capabilities or HR development plan where they are destroyed maximum of 5 years after last case has been resolved. .</p>	SECURE	

<i>Ref</i>	<i>Document Type</i>	<i>Description</i>	<i>Retention reason</i>	<i>Retention Period</i>	<i>Disposal Action</i>	<i>Storage / Actions / Notes</i>
HR4.3.2	Apprenticeships and Registration	Apprentice Agreement and Commitment Statement Internal applications to specialised programmes Progress spreadsheet Financial spreadsheet	Business requirements and Good Practice	Apprentice agreement and Commitment Statement to be kept for date of termination + 6 years Application forms kept until appeals deadline or where an appeal has been submitted until process is completed Progress spreadsheet, individual details removed once Apprentice completed Current Financial year + 6 years		Apprentice agreement and Commitment Statement to upload to personnel records
HR4.3.3	Apprenticeship Reviews	Record of the review meeting with the Apprentice and any related documents.	Business requirements and Good Practice	Date of termination + 6 years	SECURE	
HR4.3.4	Work Experience	Work experience pack completed by candidate. Risk Assessment.	Business requirements and Good Practice	Candidate spreadsheet log kept for 7 years. Work experience pack length of work experience then securely disposed of. Risk Assessment kept by Insurance for 7 years.	SECURE	
HR4.3.5	Commissioned Training	Contracts for Suppliers	Business requirements and Good Practice	Keep for administrative use then destroyed once completion memo received from Legal Team.	SECURE	Workforce send contracts received to Legal Team for retention.
HR4.3.6	Social Work ASYE and Strengthening Practice Portfolios	Paper and Electronic Portfolios submitted by Newly Qualified, externally recruited or those on progression pathway for panel assessment and all related documentation	Business requirements and Good Practice	Electronic portfolios and documents 2 years as may be requested for National External Verification	SECURE	Social Workers are asked to collect their paper portfolios once they have been approved by the panel. Only electronic copies are kept for the full retention period.
HR4.4	Workforce Reports, Audits and Evaluations					
HR4.4.1	Skills Audit/Workforce Planning	Audits completed by staff	Business requirements	+ 1 year following the final reports for the project they relate to.	SECURE	
HR4.4.2	Training Evaluation	Feedback on learning and development events. Can be from stages 1-4 of Kirkpatrick model. This can include feedback forms, notes from delegate interviews, observations, self, or group assessments	Business requirements and Good Practice	Level 1 forms destroyed following course closure and any issues have been dealt with fully/relevant reporting complete. Level 2 upwards - notes from delegate interviews, observations, self or group assessments destroyed once any issues have been dealt with fully/relevant reporting complete	SECURE	
HR4.4.3	HR & Payroll System Reports/Data extractions for work areas/projects/monitoring		Business requirements and Good Practice	Destroy after last administrative use	SECURE	

Ref	Document Type	Description	Retention reason	Retention Period	Disposal Action	Storage / Actions / Notes
HR5	Payroll					
HR5.1	Payroll Records					
HR5.1.1	Overtime claim forms		HMRC Compliance	Hold physical/electronic form current year + 6 years; For pension purposes, upload to electronic filing system for Date of Birth + 85 years	SECURE	HR Contracts and Payroll. Most of claims are electronic – on HR and Payroll system Once submitted to HR, no need for line managers to keep a copy
HR5.1.2	Change of hours	Notification of change of hours		Date of termination + 6 years	SECURE	Retain record on electronic filing system. Electronic record of hour changes stored on HR and Payroll system HR Contracts and Payroll – electronic personnel file
HR5.1.3	Monthly payroll processing scanning bank details, Change to contracts, Student loans, Permanent Input	HMRC Compliance Statutory ¹ HMRC Guidelines - The records for an accounting period will normally have to be kept for 6 years from the end of that period. For example, if the accounting period ends on 31 December 2012, the records have to be kept until 31 December 2018.	HR Contracts and Payroll, electronic filing system - payroll filing	Current financial year + 6 years. (Destroy 7 years after the conclusion of the financial transaction that the record supports)	SECURE	All documents relating to a monthly payroll are scanned after payroll running and stored on electronic filing system - payroll scanned documents under the relevant month and by category. Check electronic filing system disposal actions and processes are in place within IT
HR5.1.4	Recruitment - Successful applicants: Bank details	Employee bank details – current details to pay employee		Termination date + 6 years	SECURE	
HR5.1.5	Processes that balance and reconcile monthly payroll processing		Operational	Destroy 2 years after administrative use is concluded	SECURE	HR Contracts and Payroll
HR5.1.6	Processes involved in the collection of National Insurance Numbers – notification and input records		Operational	Destroy 2 years after the employee ceases employment.	SECURE	HR Contracts and Payroll
HR5.2	Accountable Processes					
HR5.2.1	Relating to payment of employees, payroll deductions, payroll disbursements, employee pay records, employee taxation records, general ledger files.		HMRC – Compliance. Statutory ² Refer to notes at end of document for more details.	Current financial year + 6 years (destroy 7 years after the conclusion of the financial transaction that the record supports)	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.2.2	Authorised signatory lists		Internal Compliance	Review at least annually or when changes to authorised signatories occur. Keep current and previous record.	SECURE	HR Contracts and Payroll

<i>Ref</i>	<i>Document Type</i>	<i>Description</i>	<i>Retention reason</i>	<i>Retention Period</i>	<i>Disposal Action</i>	<i>Storage / Actions / Notes</i>
HR5.3	Payroll Processing Documents					
HR5.3.1	Market Supplement Information Retro information		Operational	Destroy 2 years after final action	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.3.2	Permanent Allowances – AMHP, BIA, Bilingual skills payments		Operational	Destroy 2 years after final action	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.3.3	Third Party Payment Details		Operational	Destroy 2 years after final action	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.3.4	Casuals – no pay this year		Operational	Destroy 2 years after final action	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.3.5	Childcare Scheme:	Includes: monthly balancing, maternity, annual assessments	Operational	Destroy 2 years after final action	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.3.6	Employee Third Party Claims		Operational	Destroy 2 years after final action	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.3.7	Employers Financial References		Operational	Destroy 2 years after final action	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.3.8	Overpayments		Operational	Destroy 2 years after final action	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.3.9	Purchase of Annual Leave		Operational	Destroy 2 years after final action	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.3.10	Jury – Court Service		Operational	Destroy 2 years after final action	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.3.11	Relocation Package		Operational	Destroy 2 years after final action	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.3.12	Salary Protection List		Operational	Destroy 2 years after final action	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.4	Non- accountable Processes					
HR5.4.1	Relating to payment of employees – Summary employee pay reports		Operational	Destroy after administrative use is completed.	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.5	Payroll – Operational Spreadsheets					
HR5.5.1	New starter spreadsheet		Operational	Destroy after administrative action is completed, and maximum 1 year after final action completed	SECURE	To create electronic personnel file and ensure set up on HR & Payroll system

<i>Ref</i>	<i>Document Type</i>	<i>Description</i>	<i>Retention reason</i>	<i>Retention Period</i>	<i>Disposal Action</i>	<i>Storage / Actions / Notes</i>
HR5.5.2	Leaver lists	List containing the names, payroll numbers, leaving date, job title, school and position	Operational	Destroy after administrative action is completed, and maximum 1 year after final action completed. Finance request information relating to leavers in order to remove from financial system (6 monthly report October and April). Unison request information re starters and leavers to contact re membership and deductions	SECURE	Those who need P45s and LV1 and to ensure these are sent HR Contracts and Payroll
HR5.5.3	Retro amounts / reports		Operational	Destroy 2 years after final action	SECURE	To assist with checking day on retro report HR Contracts and Payroll
HR5.5.4	Payroll return BACS register		Financial monitoring, finance will maintain the original	Destroy 3 years after final action	SECURE	HR Contracts and Payroll Finance
HR5.5.5	Fixed Term contracts ending		Operational	Destroy 2 years after final action	SECURE	HR Contracts and Payroll, electronic filing system - payroll filing
HR5.5.6	Open ended absences		Operational	Destroy 2 years after final action	SECURE	To monitor sickness ie sending SSP1 forms and reduced pay letters. HR Contracts and Payroll, electronic filing system - payroll filing
HR5.6	BI and HR and Payroll System Generated Reports to Support Payroll Processing					
HR5.6.1	Payroll reports	In-house payroll reports: main reports include Credit and Debit misbalance report, Net Pay Reconciliation Payments Reconciliation, Differences Reconciliation Employee Reconciliation – Numbers only no personal details, temporary Input, Large payments, Errors and Warnings report – names, employee numbers, nature of error or warning, Payments to HMRC FPS errors – names and error identified (which may include address) Retro reports Open ended sickness absence Deviance reports	Operational	Destroy 3 years after administrative use is concluded	SECURE	Saved by month and year for ease of monitoring and disposal HR Contracts and Payroll
HR5.6.2	School Payroll reports	Schools pre-payroll reports, and schools post payroll reports	HMRC - Statutory	Current financial year + 6 years. (Destroy 7 years after action completed). Remove after 3 months from schools download area.	SECURE	Copies saved to secure school download areas

Ref	Document Type	Description	Retention reason	Retention Period	Disposal Action	Storage / Actions / Notes
HR6	Pensions					
HR6.1	Pension Fund Contributions and Returns					
HR6.1.1	All records relating to the monitoring of employer and employee pension fund contributions. Records containing superannuation / pension information / leave of absence		HMRC – Compliance Handbook Manual CH15400	HR Contracts & Payroll: Current financial year + 6 years Pensions Team: Date of birth + 85 years	SECURE	HR Contracts and Payroll Pensions Team
HR6.2	Payroll – Operational Purposes					
HR6.2.1	Pension changes spreadsheet / information		Operational	Destroy after last administrative use	SECURE	HR Contracts and Payroll Pensions Team
HR6.2.2	LV1 forms		Operational	Destroy after last administrative use – max 1 year	SECURE	Pension forms for WYPF HR Contracts and Payroll Pensions Team
HR6.2.3	Teachers Pension Documents	Flexibilities Option Forms + Letters Opt In/Opt Out Forms + Letters Certificate of Re-employment Application for Retirement Benefits Missing Service Enquiries AVC Option Forms + Letters TP Pension Life Certificate Documents Annual Service Return Reports and Calculations Monthly Data Collection Reports + Calculations	Operational	Date of Birth + 85 years	SECURE	Pensions Team

Ref	Document Type	Description	Retention reason	Retention Period	Disposal Action	Storage / Actions / Notes
HR6.2.4	<u>WYPF Documents:</u>	ARC forms, APC forms AVC documents Deferred benefits IDRP cases, Retirements Death in service Opt Ins / Opt Out & 50/50 Tier 3 Reviews Reduction in pay cases Maternity & unpaid leave cases Arrears cases, TUPE transfers Transfers Monthly Return Data Collection Reports & payment documents	Operational	Date of Birth + 85 years	SECURE	Pensions Team
HR6.2.5	<u>NHS Documents:</u>	Starter Forms, Leavers Unpaid Leave, Arrears Retirements, Estimates Opt Outs, Maternity Auto Enrolment Year End reports	Operational	Date of Birth + 85 years	SECURE	Pensions Team
HR6.2.6	<u>Teachers Pension Documents</u>	TP Pensioner Deceased Amendments TP Monthly Payments TP Banding Deduction Checks Monthly Scheme Arrangement Reports Files Relating to the Deceased Individual Members of the Pension Scheme (including Dependants)	Operational	Current Financial Year + 6 years	SECURE	Pensions Team
HR6.2.7	Auto Enrolment Reports and Letters Issued		Operational	Date of Birth + 85 years	SECURE	Pensions Team
HR6.2.8	Pension queries raised with Teachers' Pensions		Operational	Date of Birth + 85 years	SECURE	Pensions Team

Ref	Document Type	Description	Retention reason	Retention Period	Disposal Action	Storage / Actions / Notes
HR7	Traded Services					
HR7.1	Traded Services					
HR7.1.1	Customer Contact Details		Operational	Review contact list annually and update / remove records as applicable in conjunction with contract schedules	SECURE	HR Contracts and Payroll - Traded Services Developer
HR7.1.2	Service Level Agreement		Operational	Destroy 3 years after final action / administrative use completed	SECURE	SLA / Contract details HR Contracts and Payroll - Traded Services Developer
HR7.1.3	Spreadsheet of list of schools and which services they have bought into –	contains school name, financials reference number	Operational	Review on an annual basis and Destroy 3 years after final action / administrative use completed	SECURE	List of Schools who have 'bought in' to HR Services and which services they subscribe to. HR Contracts and Payroll - Traded Services Developer
HR7.1.4	Schools Headcount Data -	used to calculate charges, contains names of staff, payroll ref numbers, position, hours, grade, salary, service costs etc		Destroy 3 years after final action / administrative use completed	SECURE	Schools Headcount Data HR Contracts and Payroll - Traded Services Developer
HR7.1.5	DBS E-Bulk Service Invoices – current financial year	list of names, organisation, type of disclosure, cost, application ref number	Operational, financial monitoring and charging requirements (finance will maintain originals)	Destroy 3 years after final action / administrative use completed	SECURE	DBS e-bulk HR Contracts and Payroll - Traded Services Developer
HR7.1.6	DBS Invoices – current financial year	list of names, organisation, type of disclosure, cost, application ref number	Operational, financial monitoring and charging requirements (finance will maintain originals)	Destroy 3 years after final action / administrative use completed	SECURE	Invoices HR Contracts and Payroll - Traded Services Developer
HR7.1.7	Access Request forms – contains Names, Employee ref numbers, email addresses		Operational	Destroy 3 years after final action / administrative use completed	SECURE	School Access Request Forms HR Contracts and Payroll - Traded Services Developer
HR7.1.8	List of schools who have access to the HR & Payroll System		Operational	Destroy 3 years after final action / administrative use completed	SECURE	School Access HR Contracts and Payroll - Traded Services Developer

Notes**1. HR1.1.2 Casework regarding safeguarding allegations:**

In terms of records retention, the length of time the allegation summary needs to be retained (and therefore its disposal date) is determined by the age of the employee the allegation is made against at the time of the allegation. For example, if an employee is 64 at the time the allegation was made and the normal pension age is 65, the record would need to be retained 10 years from the date of allegation as this is longer than 'keep until normal retirement age'. If the employee is 28 when the allegation was made and the normal pension age is 65, the record would need to be kept 65 years from the employee's date of birth because – in this instance – this is the longer rule.

2. HR2.3.2 – Staff information – Section 37, Children's Homes (England) Regulations 2015:

Section 37 'Other records' of The Children's Homes (England) Regulations 2015 states that: '37. – (1) *Schedule 4 sets out the other information that the registered person must keep in relation to a children's homes.*' [Schedule 4](#) (2) sets out what Other Records need to be retained by the registered manager in relation to staff. This information is to be retained at the Children' Home and remain the responsibility of the Care Home Manager.

3. HMRC – Compliance. Statutory Note:

When requested by HMRC, Regulation 97 of the Income Tax (Pay As You Earn) Regulations 2003 requires employers to 'produce' their 'PAYE records', other than those that they have already been sent, at a 'prescribed place'. This is for a period of not less than three years following the tax year to which they relate, ie employers must keep the current year's records, plus those for the previous three years. The Regulations define PAYE records as:

- all wages sheets, deductions working sheets, P46 forms for low-paid employees that were not sent to HMRC, and any other documents and records that relate to
 - the calculation of employees' income for PAYE purposes,
 - any other relevant payments to employees, and
 - the deduction of tax from such payments, e.g. P45s, coding notices, and
- all documents and records relating to any information which an employer is required to provide on forms P11D and P9D.

These definitions refer to paper records but, where the information from paper records is retained on computer, eg the figures needed to complete year-end P14s, P46 details, P38(S) details, the employer must ensure that the computer records are kept in such a way that an HMRC officer would be able to inspect them. Similar provisions are to be found in the Regulations relating to NICs, statutory payments, National Minimum Wage and Student Loan deductions. The three-year retention period applies, therefore, to all records that are created solely for PAYE and related purposes. The Regulations define a 'prescribed place' as:

- a place in the United Kingdom that the employer and HMRC agree on or, in the absence of an agreement:
 - the place where the records are normally kept, or, if there is no such place
 - the employer's principle place of business in the United Kingdom

Version Control

Date	Reference Number	Changes Made
01/04/2021		Schedule approved