



Records & Information Management Service (RIMS)

Records Retention Schedule

Human Resources

Section / Function	Records Series	Retain at office	Retain at Records Centre	Total retention	Fate	Notes
Employee Management	Contract File including but not limited to: <ul style="list-style-type: none"> • Payroll Information Form • Contract Offer Cover Letter • Written particulars of Terms and Conditions (originals with both signatures) • Post Management Form • Copies of identification (verified) • Job advert and job description • References • Application form • Copy of pension application form (original to Payroll) • Relocation expenses paid • Job evaluations (specific to individual's role) • Allowances 	T+6 for all staff apart from research only and research and teaching	Nil*	T+6 T+8 (R and RT)	D(con)	<p>A basic record including start and end dates of appointments will be retained to ensure a history of a person and appointment. Eg start date, end date, College, School, job</p> <p>Where there is an ongoing Employment Tribunal or similar matter the relevant personal file MUST NOT be destroyed.</p> <p>This setion includes all form of staff and casual workers although less information is stored for casual workers.</p> <p>This also includes any documentation/forms for honorary/affiliate/visiting status</p> <p>The research only and research and teaching staff information will be held for 8 years as it will be required for the Research Excellence Framework (REF)</p>

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	<ul style="list-style-type: none"> • Merit awards • Salary • Work address • Start and end dates • Termination of employment • Re-grading, promotion, changes in terms and conditions • Recognition & Reward • Working overseas • Fitness to Practice Forms (Clinical only) • Any other relevant correspondence • Redundancy consultation • Criminal convictions form (no longer require applicant to complete this form as of July 2010 – is now part of application form) • Working permissions and relevant paperwork (as appropriate) • Electronic timesheets (where appropriate) 					
	Personal detail including but not limited to: <ul style="list-style-type: none"> • Name • Address/Post code • Phone number • Title 	T+6 for all staff apart from research only and research and teaching	Nil*	T+6 T+8 (R and RT)	D(con)	A basic record including start and end dates of appointments will be retained to ensure a history of a person and appointment. Eg start date, end date, College, School, job

A=archival, App=appraisal by Archives Services, C=current, Cay=current academic year, Cfy=current financial year, Cty=current tax year, D=destroy, D(con)=destroy confidentially, P=permanent – life of University/business need, R=review in office for continuing business use, T=termination of staff/student status.

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	<ul style="list-style-type: none"> Date of birth Sex Nationality National insurance number Bank account details Child care vouchers 					The research only and research and teaching staff information will be held for 8 years as it will be required for the Research Excellence Framework (REF)
	Marital status	T+75	Nil	T+75	D	Required for pension purposes
	Next of kin/emergency contact	T+1	Nil	T+1	D	
	Equality monitoring information	T+1	Nil	T+1	D	
	Staff photographs	T+1	Nil	T+1	D	
Attendance management	Sickness absence recording	T+6	Nil*	T+6	D(con)	Information from fit note should be entered into computerised HR record. It should not be retained as a separate record, once recorded, if original, it should be given back to the member of staff and any copies destroyed confidentially.
	Return to work form (including Attendance Improvement plan)	T+6	Nil	T+6	D(con)	Where review triggers are met or where there are any other causes for concern, this information will be recorded in the HR file.
	Maternity Leave – entitlements and calculations of Statutory Maternity Leave Maternity form MatB1	T+6	Nil*	T+6	D(con)	Any correspondence, medical records etc. relating to maternity leave
	Parental/Paternity leave	T+6	Nil*	T+6	D(con)	CIPD recommended best practice. Payroll will retain majority of information on this topic
	Adoption leave	T+6	Nil*	T+6	D(con)	
	Other leave e.g. emergency time off, unpaid	T+6	Nil*	T+6	D(con)	

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	Annual leave requests including authorisation	T+1	Nil*	C+1	D	Stored in CoreHR – to be reviewed
	Disclosure Scotland checks	From receipt + 1 month	Nil	From receipt + 1 month	D(con)	Forms kept in locked cabinet for one month then destroyed. Certificate number recorded on HR system.
Case management	Disciplinary against employee – dismissed cases (no action taken after investigation)	Last action on case + 1	Nil*	Last action on case + 1	D(con)	
	Disciplinary against employee – upheld cases (action taken)	Last action on case + 6	Nil*	Last action on case + 6	D(con)	
	Grievances – dismissed after investigation	Last action on case + 6	Nil*	Last action on case + 6	D(con)	
	Grievances – upheld: institution's response, action taken and outcome	Last action on case + 6	Nil*	Last action on case + 6	D(con)	
	Performance management documents	Last action on case + 6	Nil*	Last action on case + 6	D(con)	
	Flexible working requests	Last action on case + 6	Nil*	Last action on case + 6	D(con)	
PDR	PDR forms (on line)	C+5	Nil*	C+5	D	Full form plus rating is stored in CoreHR
Employee Relations	Agreements with Trade Unions (Memorandums of Understanding)	Until superseded+ 10	Nil	Until superseded+ 10	RA	
	Institutional recognition/de-recognition of Trade Unions	Termination of agreement+10	Nil	Termination of agreement+10	A	
	Formal communications with Trade Unions including minutes of meetings	C+10	Nil	C+10	D(con)	
	Consultations/negotiations with Trade Unions on specific issues	C+10	Nil	C+10	App	
	Staff survey information	C + 10	Nil	C+10	App	Anonymised data

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Recruitment & Selection	Recruitment Pack <ul style="list-style-type: none"> - job advertisements and surrounding documentation - enquiries about vacancies and requests for application forms - application forms and interview notes for unsuccessful candidates* - applicant tracking forms - appointment request authorisation 	Completion of recruitment process* + 6 months	Nil	Completion of recruitment process* + 6 months	D	*Completion of recruitment process will be when a candidate has been appointed. *Successful candidate's application form and interview notes will be placed on personal file (see below)
	Equal opportunities data	Completion of recruitment process* + 6 months	Nil*	Completion of recruitment process* + 6 months	D	Data collected during application process
	Job Seekers Register <ul style="list-style-type: none"> - CVs and personal details 	Cay +1	Nil	Cay+1	D(con)	If job-seeker leaves University their JSR entry is deleted.
	Unsuccessful candidates' application forms held in E-recruitment system	Vacancy closed/date of last log-in + 6 months	Nil	Vacancy closed/date of last log-in + 6 months	D(con)	Unsuccessful applicants' information will be kept 'live' in the e-recruitment system for 6 months once the vacancy is closed. After this time the individual is emailed to advise them that if they do not log in information will be deleted. If they do log in then information will be kept for another 12 months and the process is repeated.
	Successful candidates' application forms held in e-recruitment system	Vacancy closed+3 years	Nil	Vacancy closed+3 years	D(con)	Successful applicants' online applications are kept live for 3 years for use by the candidate. After this period staff will be emailed to advise that if they do not log in to keep account activated then it will be deleted. Relevant staff information will

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						move to CoreHR eg name, address etc
	Recruitment and selection papers for successful candidate	→	→	→	→	Transfer to Personal File (scan from e-recruitment)
	Interview expenses for candidates travelling to interview – copies only (originals to Finance Office)	Cfy+1	Nil	Cfy+1	D(con)	
	Authorisation of recruitment	C+5	Nil	C+5	D	Kept for audit purposes
	Unsolicited job applications	Nil	Nil	Nil	Return to sender	Unsolicited applications are returned to sender along with information on recruitment process
	Grading of individual jobs: correspondence, working papers, outcomes and job descriptions	P	Nil	P	P	Job gradings are related to the post and/or job vacancy not kept separately under the specific job title. Used as reference source for future gradings.
	National pay reviews – UCEA (Universities and Colleges Employers Association)	C+10	Nil	C+10	App	Review to be completed by Head of Pay, Performance and Reward
	Remuneration structure and strategy	After superseded+6	Nil	After superseded+6	App	Review to be completed by Head of Pay, Performance and Reward
Severance Schemes	Administration of large-scale severance schemes: details of scheme, calculations, implementation, final reports	Final action on scheme+10	Nil	Final action on scheme+10	D	
	Administration of large-scale severance schemes: working papers	Final action on scheme+2	Nil	Final action on scheme+2	D	
Job Evaluations	Job evaluations – working papers and results of large-scale exercises	C+10	Nil	C+10	D	
Management	HESA statistics	Cay+10	Nil	Cay+10	D	

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Information						
Strategy	HR strategy: master copy	Nil	Nil	Nil	A	A master copy of any HR strategy should be immediately sent to the University Archives upon approval
Policies	HR policies: master copy	Until superseded+5	Nil	Until superseded+5	R	
Committees	HR Committee papers	Cay+1	Nil	Cay+1	R	To be reviewed by HR Director's office
	Joint Committee of Consultation and negotiation (union) papers	Cay+1	Nil	Cay+1	R	To be reviewed by HR Director's office
	Policy Review group	Cay+1	Nil	Cay+1	R	To be reviewed by HR Director's office
Advisory Networks	Harassment Advisors' Network (HAN) Informal harassment complaint case material - cases not progressed to a formal stage	HAN case closed if informal	Nil	HAN case closed if informal	D(con)	The EDU provide support to staff and students through the Harassment Advisors' Network during the informal initial stages of harassment complaints. These records are held by the Harassment Advisors until the HAN case is closed, which occurs if: <ul style="list-style-type: none"> • Case is resolved informally; • The harassee drops the case; • The harassee progresses the case to a formal stage. Material includes meeting notes (where kept) and other relevant paperwork. When informal complaint cases are not progressed to formal stage, all material is passed back to EDU by the Harassment Advisors.
	Harassment Advisors' Network (HAN) Informal harassment complaint case material – Student cases	→	→	→	HAN to pass to SRC	These records are held by the Harassment Advisors. The involvement of the HAN ceases when a case is formalised, at this point the Harassment Advisors should pass all of this material to the Students'

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	progressed to a formal stage				Advice Centre	Representative Council (SRC) Advice Centre. Material includes meeting notes and other relevant paperwork.
	Harassment Advisors' Network (HAN) Informal harassment complaint case material – Staff cases progressed to a formal stage	Case progressed to formal stage + 1	Nil	Case progressed to formal stage + 1	D(con)	These records are held by the Harassment Advisors. The involvement of the HAN ceases when a case is formalised, at this point the HAN case is closed and the Harassment Advisors should pass all materials relating to the informal process back to EDU. The case material relating to the informal complaint is not passed to HR as this would be in breach of the agreement with the harassee. Formal staff casework notes are held by HR.
	Harassment Advisors' Network Monitoring Forms (hard copy)	Cay+1	Nil	Date entered onto database +1	D(con)	These records contain data in relation to HAN cases. They are completed by the alleged harassee (staff or student) in conjunction with the HAN advisor at the stage where the HAN has no further input (i.e. case has been resolved at informal stage or is being formalised by the staff/student).
Complaints	Cases against University/Staff/Students	Until case closed	Nil	Until case closed	D(con)	EDU is occasionally asked to provide guidance to the University and/or to the member of staff/student involved. Finalised paperwork is held by HR (for staff) and Senate (for students). Paperwork for cases

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						against the University are held either by Senate or, where conducted outwith Senate, paperwork is held by the relevant administering area.
	Equality and Diversity Strategy Committee (EDSC) - Minutes (finalised) - Committee papers	Cay+5	Nil	Cay+5	A*	Chaired by the Principal, reports to the Senate and Court. EDU clerk for this committee. *After the retention period at office elapses, send a hard copy of the minutes and other committee papers to Archives for permanent retention.
	Equality Groups Disability Equality Group Race Equality Group Sexual Orientation Equality Group Gender Equality Steering Group Religion and Belief Equality Group - Minutes (finalised) - Meeting papers	Cay+5	Nil	Cay+5	A	EDU clerk for all these Groups. Each group meets 3 or 4 times per year and minutes produced for each meeting. Meetings are chaired by the Equality Champion who delivers a verbal update to EDSC when it meets.
ED Policy/ Scheme Development	Policies (finalised)	Until superseded+5	Nil	Until superseded+5	A*	*After the retention period at office elapses, send a hard copy of the policy to Archives for permanent retention.
REF	Complex circumstances case work and evidence Minutes from Equality and Diversity meetings	Until REF results are published+2	Nil	Until REF results are published+2	D(con)	Will depend on arrangements for the collection of information for each REF

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EOD courses	Material for courses run by EOD staff	Life of course+1	Nil	Life of course+1	D	Held electronically
	Online course material	Life of course+1	Nil	Life of course+1	D	Held on Moodle
	List of course attendees held in CORE	T+1	Nil	T+1	D	
	List of course attendees held in spreadsheet	T+1	Nil	T+1	D	Data held in a spreadsheet going back to 2002. someone would be working at the University although EOD staff will delete records if they receive confirmation that a staff member has left.
	Course evaluation forms	Cay+1	Nil	Cay+1	D	Anonymised
Procurement	Documentation for procurement exercises undertaken by EOD	End of contract +6	Nil	End of contract +6	D	Includes financial records and supporting records
	Documentation for procurement exercises undertaken by University's Procurement team	End of contract+1	Nil	End of contract+1	D	Procurement team deal with the financial documents but EOD hold supporting documentation including market research, correspondence etc
Learning Works	Applicant names & staff numbers	Cfy+6	Nil	Cfy+6	D(con)	Records for the past 7 years were scanned and saved to disc. Going forward these records are created and held electronically. Retention period confirmed by Finance.
International Experience Fund	Applications and letters of outcome, including details of awards granted	Cfy+6	Nil	Cfy+6	D(con)	From 2017 MaRIO will process all financial claims. EOD will keep financial claim records prior to this date as per the cfy+6 time period specified. Following this EOD will destroy the records after each individual staff trip.
	Progress Reports	□	□	□	P	Held electronically and available through

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						Sharepoint as an information source for other candidates.
Modern Apprentices	Modern Apprentice Files (includes: information about qualifications/ registration/attendance/ attainment)	Last claim date + 2	1	Last claim date + 3	D(con)	Some information is a duplicate of HR records but SQA and various lead bodies (eg CfA and CITB) qualification information and registration and attainment records are unique. SQA and lead bodies attainment records are sent to HR for inclusion in the personal file and other records destroyed. From Dec 2015 records are scanned and held electronically (Andrea Miller responsible for deleting at the end of the retention period.)
	Payment records (from Scottish Enterprise system for BACS payment) – copies	Cfy + 1	Nil	Cfy + 1	D(con)	Master record held on Agresso.
	Modern Apprentice Questionnaires	3	Nil	3	D(con)	
Inst. Leadership man.	ILM assignments	6 months	Nil	6 months	D(con)	Candidates are asked if they wish assignments to be returned to them. If not they are destroyed.
	ILM files (including registrations, attainments, mark sheets and EV reports)	Cfy + 2	2	Cfy + 4	D(con)	Files were weeded of personal information prior to sending to Records Centre. From Dec 2015 records are scanned and held electronically (Andrea Miller responsible for deleting at the end of the retention period.)
ESF	European Social Funding documentation relating to 2000-2006 Work Programme	6	Until 31 Dec 2017	Until 31 Dec 2017*	D(con)	*On the advice of Scottish Government Portfolio and Compliance Manager (confirmed Feb 2016)
Volunteer	Database of volunteer details ,	C+3	Nil	C+3	R	Database contains: name, number of

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scheme	applications and all other related information					repeats, services division, job family, preference for charity, grade, FT/PT. Used to compile statistics and reports.
Psycho-metrics	360 reports	Start of programme + 2 years	Nil	Start of programme + 2 years	D(con)	Held electronically on a restricted access folder

Signed _____ *Department* Date _____

Print name _____ Job title _____

Signed _____ *RIMS* Date _____

This signed off schedule authorises RIMS and the University Records Centre to destroy life-expired records without further instruction. It must not be amended without first consulting RIMS.