

G. HUMAN RESOURCES

Owner	Employee Relations Leader	Date Approved	Oct-17	Approved By	Executive team	To be reviewed by:	end 2018
Ref	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation / Notes
1	Managing employees						
1.1	Employee file	Electronic and Paper employee records such as the following: Employee details, Employment contract, secondment, leave including maternity/paternity leave, training and induction records	Termination of employment	5 years	Confidential Destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 Nb These records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
1.2	Employee file: where employee subject to statutory health surveillance or sustains a major injury arising from a workplace accident	Electronic and Paper employee records such as the following: Employee details, Employment contract, secondment, leave including maternity/paternity leave, training and induction records	Termination of employment	40 years	Confidential Destruction	Statutory	The Control of Substances Hazardous to Health Regulations 2002 Nb These records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
1.3	Employee file: where employee exposed to asbestos	Electronic and Paper employee records such as the following: Employee details, Employment contract, secondment, leave including maternity/paternity leave, training and induction records	Termination of employment	40 years or on attaining 80 years of age whichever is later	Confidential Destruction	Statutory	Control of Asbestos Regulations 2012 Nb These records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
1.4	Identification of documents of foreign nationals (ensuring from the obligation to retain copies of documents used to perform immigration checks)	proof of identity documents	Termination of employment	2 years	Confidential Destruction	Statutory	Immigrations (Restrictions on Employment Order) 2007/3290 Article 6 (1) (b)
2	Sickness Absence						
2.1	Employee sickness absence records	Individual stress risk assessments, medical assessments, counselling referrals and dates of attendance, referral to Occupational Health and final report, sickness absence forms and letters	Termination of employment	5 years	Confidential Destruction	Business Requirement and CIPD recommendation	Part of employee file (see 1.1) Relates to potential for claims for breach of an employment contract. NB these records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
2.2	Absence reporting (for business purposes)	Absence reports	Date superseded	1 year	Confidential Destruction	Business Requirement	
3	Disciplines/Grievances						
3.1	Discipline - Dismissal records		Termination of employment	5 years	Confidential Destruction	Statutory	Part of employee file (see 1.1) Relates to potential for claims for breach of an employment contract. NB these records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
3.2	Discipline - no warning given		Date of decision not to proceed	Nil	Confidential Destruction	Business Requirement	NB these records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
3.3	Discipline - written warning - where post not subject to PVG membership	Written warning for 6 months	Date written warning issued	6 months	Confidential Destruction	Business Requirement	NB these records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
3.4	Discipline - written warning - where post subject to PVG membership	Written warning for 6 months	Date written warning issued	3 years	Confidential Destruction	Professional membership requirement	NB these records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
3.5	Discipline - final warning - where post not subject to PVG membership	Final warning for 12 months	Date warning issued	1 year	Confidential Destruction	Business Requirement	NB these records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
3.6	Discipline - final warning - where post subject to PVG membership	Final warning for 12 months	Date warning issued	3 years	Confidential Destruction	Professional membership requirement	NB these records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
3.7	Formally Counsel		Date of outcome Letter	6 months	Confidential Destruction	Business Requirement	NB these records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
3.8	Informally Counsel		Date of letter or note of discussion	6 months	Confidential Destruction	Business Requirement	NB these records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
3.9	Grievance and dignity at work		Termination of employment	5 years	Confidential Destruction	Statutory	Prescription of Limitation. NB these records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.

3.10	Disciplinary reporting (for business, statistical purposes)	Disciplinary reporting records	Date superseded	1 year	Confidential Destruction	Business Requirement	
3.11	Employment tribunal records	Emp Trib applications and correspondence	Date of receipt of Emp Trib application	5 years	Confidential Destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 Nb These records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
4 Trade Union							
4.1	Trade Union Liaison	Monthly strategic meetings, policy sign off and recognition agreements	Date superseded	10 years	Confidential Destruction	Statutory	Trades Union Act 2006
4.2	Trade Union Liaison	Consultations	Date of consultation closure	20 years	Confidential Destruction	Statutory	Trades Union Act 2006
5 Workforce Planning							
5.1	Workforce planning	Workforce planning form, authorisations/approvals, Vacancy Administration Checklist, Job Advert	Date of decision	5 years	Confidential Destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 Nb These records must not be destroyed if a claim has been intimated, there is pending/ongoing employment tribunal, an information request has been intimated or an audit is ongoing.
5.2	Workforce planning - business reporting	Workforce planning log	End of calendar year	5 years	Confidential Destruction	Business Requirement	
5.3	ER/VR - employee	Signed Offer form, Memo to payroll, pension correspondence, letter of confirmation to employee, general correspondence with manager	Cross Reference to Section 1 Managing employees	Cross Reference to Section 1 Managing employees	Cross Reference to Section 1 Managing employees	Cross Reference to Section 1 Managing employees	Cross Reference to Section 1 Managing employees
5.4	ER/VR - Employer	expression of interests log	Date superseded/Date of decision not to proceed with ER/VR	6 months	Confidential Destruction	Business Requirement	
5.5	ER/VR - Employer	Budget log	End of financial year	6 months	Confidential Destruction	Business Requirement	
5.6	Resignations, retirements	Such as exit interview, retrial letter, letter of resignation	Cross Reference to Section 1 Managing employees	Cross Reference to Section 1 Managing employees	Cross Reference to Section 1 Managing employees	Cross Reference to Section 1 Managing employees	
5.7	Structural review- pre-consultation preparation	Draft proposed structures, draft costings	Completion of review	1 year	Confidential Destruction	Business Requirement	
5.8	Structural review-consultation process	Structure which was consulted upon, staff communications, migration protocol and feedback	Completion of review	3 years	Confidential Destruction	Business Requirement	
5.9	Structural review- finalised outcome	Final agreed structure and migration outcomes	Completion of review	3 years	Confidential Destruction	Business Requirement	
6 Recruitment							
6.1	Job Profiles	Job profiles	Date superseded	5 years	Confidential Destruction	Corporate Memory	
6.2	Recruitment pack	Checklist for recruitment pack, applicant list, Job profile, and Interview records for all candidates including shortlisting matrix	Date of decision	1 year	Confidential Destruction	Regulatory Requirement (CIPD)	
6.3	Recruitment: unsuccessful candidate	Criminal conviction form (unopened)	Date of decision	Nil	Confidential Destruction	Regulatory Requirement (CIPD)	
6.4	Recruitment: unsuccessful candidate	Application form	Date of decision	1 year	Confidential Destruction	Regulatory Requirement (CIPD)	
6.5	Recruitment: successful candidate	Application forms, references, criminal conviction form, occupational health report for new starts.	Termination of employment	5 years	Confidential Destruction	Statutory	Cross Ref: 1.1 as this is included in Employee file
6.6	Summer work programme	Application forms, interview records, booklets, presentations	Termination of placement	1 year	Confidential Destruction	Business Requirement	
6.7	Summer work programme - attendee register	Attendee spreadsheet	Termination of programme	2 years	Confidential Destruction	Statutory	Working Time Regulations 1998
6.8	Work experience	Placement requests, Authorisations and terms of engagement	Termination of placement	1 year	Confidential Destruction	Business Requirement	
7 Equalities and Wellbeing							
7.1	Equality Schemes	Includes Gender Pay Gap Statement and Equal Pay Statement and preparatory information	Date superseded	3 years	Confidential Destruction	Business Requirement	Equal Pay and The Equality Act 2010

7.2	Equality Schemes	Gender Equality - Annual reports	End of financial year	3 years	Confidential Destruction	Business requirement	The Equality Act 2010
7.3	Equality Schemes	Equalities and diversity - guidelines	Date superseded	1 year	Confidential Destruction	Business requirement	The Equality Act 2010
7.4	W.E Benefit reporting	Spreadsheets such as the following: Cycle to Work, Childcare, Occupational Health, Computers, Flu Jag, Employee support, subsidised driving lessons, Wheatley Reward and Health Plan	End of financial year	2 years	Confidential Destruction	Business requirement	
7.5	Staff Bursary	Application form, authorisation	End of financial year	5 years	Confidential Destruction	Business requirement	
7.6	Staff Bursary log	Log of recipients, course taken, cost and outcome	End of financial year	5 years	Confidential Destruction	Business requirement	