

HR RETENTION SCHEDULE

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Version Control and Approval

Version Number	Comments	Author	Date
V1.00	Stand-alone retention schedule for Human Resources created and approved.	Emma Stevens, Deputy Director of Human Resources	November 2018
V2.00	Minor updates only.	Emma Stevens, Deputy Director of Human Resources	June 2019
V3.00	Updated and expanded to include records retained by different HR teams, together with formatting changes in line with accessibility requirements.	Ellie Adams, HR Business Support Manager	March 2021
V4.00	Minor amendments to individual sections following review by relevant teams.	Ellie Adams, HR Business Support Manager	April 2021
V5.00	Change of name for the EDI Team in section 10. Minor alterations to retention periods in section 10 to align with the various charter mark organisations or other recognised organisations. Amendments made throughout other sections to add clarity, update on new applications/systems in use, and to reflect some changes in operational practice regarding locally-held records, in the final section of the document.	Ellie Adams, HR Business Support Manager	December 2023

Version Number	Approved by	Date
V4.00	Emma Stevens, Interim Director of Human Resources	April 2021
V5.00	Emma Stevens, Director of Human Resources	January 2024

Implementation Guidance

Principles to follow:

It is good practice to proactively dispose of records on a regular basis (at least once a year, if not more frequently). This helps to make the process more manageable, by keeping the quantity of records in your systems/storage locations to a reasonable volume. If no proactive disposal takes place, it can make record reviews complex and time-consuming (typically coinciding with moving office, or cleansing data within a system).

Disposal actions need to be carried out when records are no longer 'current' – for example, when a member of staff leaves, at which point their record is no longer deemed 'active' with the University, and can be reviewed. Retention periods will start to apply once a specific 'trigger' has been reached. It should be noted that it is rare for retention periods to start from the creation of a record.

Retention rules apply to all information, regardless of the format. This means that the same retention periods should apply to paper records, as well as electronic records. However, one exception to this might be when data has been extracted from a paper record and, inputted into an alternative platform/system (such as transcribing information into a database, then regarding the information in this database as 'the record'). In cases where information has been transcribed, it is usually beneficial to retain the paper original for a short period, in case of any data quality concerns regarding the transcribed data.

In order to make the proactive disposal of information easier, it is good practice to store information in a way that supports the eventual disposal process. Examples might include arranging folders on X Drives by year (or suitable alternative period), to facilitate the application of given retention rules at the end of that year/period. Similarly, it is best practice to avoid large spreadsheets or databases (for example, a document including all of a School/Department's staff or students), as this can complicate the eventual disposal.

The University Archives are the 'corporate memory' of the University. Information transferred to the archive, in either paper or digital form, is preserved indefinitely for staff, students, alumni, and non-members of the University community to research within (subject to appropriate legislation). The [Archives and Special Collections](#) pages on the University's intranet outline further information about what is collected, and how to transfer records, and you can also [email the team](#) with any questions.



Where to go for more information:

For information on data held locally, please contact the relevant operational manager for your College/School/Department/Division in the first instance.

Any queries about retention periods not covered by this Retention Schedule, or records management in general, can be directed to the [Records Management Team](#).

Section 1: Governance of Human Resources

Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
1.01	Human Resources policies and strategy documents.	Policies; Strategies.	Retain for ten years after the date it was superseded. Offer to Archives and Special Collections.	Business and legal Requirement.	HR Advisory Team. Archives and Special Collections.
1.02	Summary of harmonised terms and conditions of employment.	Terms and conditions of employment.	Permanent. Offer to Archives and Special Collections.	Business and legal Requirement.	HR Advisory Team. Archives and Special Collections.

Section 2: Staff Administration

Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
2.01	Managing and administering staff.	Some or all of the following items: <ul style="list-style-type: none"> - Personnel files (digital or hard copy format); - Application Form/CV; - Copy of qualification certificates; - References; 	Destroy six tax years after the final date of employment (for electronic records, and after six calendar years	Business Requirement. In line with HMRC requirements.	Staff file library, Human Resources. Some staff data will be retained for a longer period due to the specific audit requirements of external funding bodies and pension providers. Any such records are reviewed for compliance no less than annually.



Reference Number	Functional Description	Examples (intended to be indicative rather than exhaustive)	Retention Period	Justification	Storage Location/Further Information
		<ul style="list-style-type: none"> - Letter of appointment and/or contract of employment; - Job description or similar; - Variation of hours; - Other contract variations; - Leave records; - Sickness records; - Job evaluation criteria; - Performance information, including reward and recognition, for example; - DBS check (if applicable). 	<p>for hard copy records).</p> <p>In addition, DBS checks are held on the supplier's core system for six months as live data, then archived for three years prior to deletion.</p>		<p>It is acceptable to retain limited employee records locally. However, these should be kept to an absolute minimum, and destroyed once the employee has left the relevant School/Department/Division (see additional guidance at the end of this document).</p>
2.03	Operational staff planning.	<p>Reviewing staffing levels; Rotas; Local workforce planning; Emergency contact details (where not already recorded on SAP via ESS/MSS).</p>	<p>Destroy three years after the end of the relevant academic year in terms of general information, or after the employee has left in the case of emergency contact details.</p>	<p>Business Requirement.</p>	<p>Schools/Departments/Divisions.</p>
2.04	Summary information on a member of staff's	<p>Name; Position;</p>	<p>Permanent, via Archives and</p>	<p>Business Requirement.</p>	<p>HR Business Support Team.</p>



Reference Number	Functional Description	Examples (intended to be indicative rather than exhaustive)	Retention Period	Justification	Storage Location/Further Information
	employment (where the individual is of legitimate interest in terms of corporate memory).	School/Department/Division; Start Date; Leaving Date.	Special Collections.		Archives and Special Collections.
2.05	Providing a limited sub-set of data fields from digital staff records, prior to deletion, for all staff to the Higher Education Statistics Agency (HESA).	Employee Number; Name; Position; Date of birth; National Insurance Number; HESA ID; Start Date; Leaving Date.	Permanent.	Statutory Reporting.	Electronically on SAP, accessed only via the HR Business Support Team.

Section 3: Recruitment (substantive staff)

Reference Number	Functional Description	Examples (intended to be indicative rather than exhaustive)	Retention Period	Justification	Storage Location/Further Information
3.01	Activities to recruit new staff (successful candidates).	<ul style="list-style-type: none"> - Authorisation to recruit; - Advertisement; - Recruitment agency brief; - Application forms and/or CVs; 	<p>All data remains in Eploy indefinitely for successful candidates, unless a request for deletion is received from an individual.</p> <p>Shortlisting notes, where retained, should be</p>	System configuration.	<p>Eploy.</p> <p>A sub-set of information is transferred to the staff file library, held within Human Resources, and as set out in section 2.01.</p>



Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
		<ul style="list-style-type: none"> - Shortlisting notes, interview notes, and test results for applications when sponsorship occurs (such notes are held locally where sponsorship is not relevant); - Pre-employment health declaration. 	destroyed locally, six months after the interview date.		
3.02	Activities to recruit new staff (unsuccessful candidates).	<ul style="list-style-type: none"> - Authorisation to recruit; - Advertisement; - Recruitment agency brief; - Application forms and/or CVs; - Shortlisting notes, interview notes, and test results for applications when sponsorship occurs (such notes are held locally where sponsorship is not relevant). 	<p>Advertisements are retained indefinitely within Eploy.</p> <p>Other information is anonymised after twelve months in Eploy (unless consent is given by the candidate for their record to remain active).</p> <p>Shortlisting notes, where retained, should be destroyed locally, six months after the interview date.</p>	Business Requirement.	<p>Eploy.</p> <p>Staff file library, Human Resources.</p> <p>Shortlisting notes are retained locally by Schools/Departments/ Divisions.</p>



Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
3.03	Establishing a candidate's right to work (successful candidates).	Copies of right to work documents.	In line with staff files (see 2.01).	UK Visa and Immigration Service (Employer's Guide to right to work checks).	Staff file library, Human Resources.
3.04	Psychometric Tests.	Occupational Personality Questionnaires.	A maximum of seven years, unless a dispute is lodged by an individual prior to deletion taking place.	Set by supplier under contractual agreement.	Supplier's system (eg Saville & Holdsworth) - only accessible to a restricted pool of trained users within HR.

Section 4: Recruitment (Unitemps)

Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
4.01	Work-seeker records.	Application form/CV; Terms of engagement (see also below); Assignment details; Interview notes for unsuccessful candidates.	One year from the last date of providing work-finding services as an Employment Agency or Employment Business.	Business Requirement, aligned to the Conduct of Employment Agencies and Employment Businesses Regulations 2003 (Conduct Regulations).	Unitemps Team, Human Resources.
4.02	Hirer records.	Client details; Terms of business (see below);	One year from the last date of providing work-finding services as an	Business Requirement.	Unitemps Team, Human Resources.



Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
		Assignment/vacancy details.	Employment Agency or Employment Business.		
4.03	Terms of engagement with temporary worker/terms of business with clients.	N/A.	Six years from the point of booking.	Business Requirement, aligned to the need to deal with any civil action arising in the form of a contractual claim (Limitation Act 1980) – whilst six years is not a minimum legal requirement, it relates to the period in which a contractual claim can be made.	Unitemps Team, Human Resources.
4.04	Working time records.	48-hour opt out notice; Annual leave records.	Two years from the date they were created.	Business Requirement.	Unitemps Team, Human Resources.
4.05	References.	N/A.	One year following the introduction or supply of a work-seeker to a client.	Business Requirement.	Unitemps Team, Human Resources.
4.06	Records held relating to right to work in the UK.	Copies of passports, or other relevant ID documentation.	Two years after the employment or engagement has ended.	Business Requirement.	Unitemps Team, Human Resources.

Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
4.07	Criminal records checks and Disclosure Barring (DBS) checks.	N/A.	Six months as live data, then archived for three years prior to deletion.	Business Requirement.	Unitemps Team, Human Resources.
4.08	National Minimum Wage documentation.	Total pay by the worker and the hours worked by the worker; Overtime/shift premia; Any deduction or payment of accommodation; Any absences; Any travel or training during working hours, including its length; Total number of hours in a pay reference period.	Three years after the end of the pay reference period following the one that the records cover.	Business Requirement.	Unitemps Team, Human Resources.
4.09	Sickness records.	Statutory Sick Pay.	Six years.	Business Requirement.	Unitemps Team, Human Resources.
4.10	Pension auto-enrolment.	Auto-enrolment date; Joining date; Opt in and opt out notices; Contributions paid.	Six years, except for opt-out notices, which should be kept for four years.	Business Requirement.	Unitemps Team, Human Resources.
4.11	Gender pay gap reporting.	N/A.	One year (but the statement must be kept on the Government	Business Requirement.	Unitemps Team, Human Resources.

Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
			website, and the organisation's own website, for three years).		
4.12	Maternity, paternity, and adoption pay.	N/A.	Three years after the end of the tax year to which the pay relates.	Business Requirement.	Unitemps Team, Human Resources.

Section 5: Organisational Development and Training

Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
5.01	Coaching and Mentoring.	Records of coaches, coaching notes, and coaching training and promotional material.	Retain for six years from the end of the academic year, then offer to Archives and Special Collections.	Business Requirement.	Organisational Development Team.
5.02	Mentoring.	Names, role, and experience profiles.	Data is reviewed on at least a quarterly basis, and any leavers removed.	Business Requirement.	SUMAC system, accessed by the Organisational Development Team.
5.03	Recognising and rewarding selected staff successes and achievements.	Citizen awards nominations; EDI summary reports; statements and supporting documents.	Retain for six years from date of award.	Business Requirement.	Organisational Development Team.



Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
		Thank a Citizen nomination scheme details.			
5.04	Training materials for courses.	Presentation slides; Course notes (note – there is no personal information retained).	Until it is deemed that the course is no longer required.	Business Requirement.	Organisational Development Team. However, details of training courses run by Health and Safety Services are covered by a separate retention schedule .
5.05	Records of attendance at training events.	Attendance registers.	Destroy six years after the end of the course.	Business Requirement.	Organisational Development Team.
5.06	Managing course bookings.	Course bookings.	Destroy three years after the event.	Business Requirement.	Organisational Development Team.
5.07	Guidance produced to support staff development.	Careers Pathways; Support Resources.	Retain for two years from the last review of the guidance. Offer to Archives and Special Collections.	Business Requirement.	Organisational Development Team. Archives and Special Collections.
5.08	Evaluation of OD Interventions.	Staff questionnaires.	Destroy three years from submission.	Business Requirement.	Organisational Development Team.
5.09	Analysing staff evaluations.	Analysis and breakdown of staff survey.	Retain for ten years after the end of the survey. Offer to Archives and Special Collections.	Business Requirement.	Organisational Development Team. Archives and Special Collections.
5.10	Acting on the results of staff surveys.	Action trackers; Staff Survey board notes.	Destroy six years after the academic year to	Business Requirement.	Organisational Development Team.

Reference Number	Functional Description	Examples (intended to be indicative rather than exhaustive)	Retention Period	Justification	Storage Location/Further Information
			which the results relate.		
5.11	Performance Development Discussions. Annual PDD records (including Probation forms if uploaded to PDDManager system). Mandatory training reporting.	PDDs; Review of objectives; Probation forms; PDD completion rates (completion rates held in PDDManager system) Mandatory training completion rates.	Destroy six years after the academic year to which the information relates.	Business Requirement.	All held on the PDDManager system (including any initially completed as hard copies – these are subsequently uploaded to PDDM). Note that there is functionality available to download documents – the local guidance section should be observed for these.
5.12	Carrying out psychometric assessments.	MBTI, DISC and Talent Predix profiles.	Usually destroy six years after the assessment date.	Set by supplier under contractual agreement.	Supplier's system (MBTI, DISC) - only accessible to a restricted pool of trained users within the Organisational Development Team.
5.13	Managing the provision of apprenticeships to existing staff members.	Quality checks on course providers; Apprenticeship agreements.	Destroy six years after the final date of employment/provision of course.	Business Requirement.	Organisational Development Team.
5.14	Induction Checklist	This is a document completed by all new starters and their line manager. It is sent to staffinduction@leicester.ac.uk	See section 2.01.	Business Requirement	Stored centrally on the HR X Drive after removal from the relevant email in-box.



Section 6: Complaints, grievances, disciplinary issues, and related casework

Reference Number	Functional Description	Examples (intended to be indicative rather than exhaustive)	Retention Period	Justification	Storage Location/Further Information
6.01	Tribunal case files.	Case Files.	<p>Destroy six years after the final date of employment.</p> <p>Note: This may need to be extended if Tribunal waiting times determine a lengthier requirement.</p>	Business Requirement.	<p>HR Advisory Team.</p> <p>Note: to be added to employee files prior to archiving or, where the quantity of documentation is too great, archived separately with a cross-reference made to the existence of a separate bundle.</p>
6.02	Grievance, capability, disciplinary, and other casework records.	Casework records; Monitoring.	<p>Destroy six years after the final date of employment.</p>	Business Requirement.	<p>HR Advisory Team.</p> <p>Note: to be added to employee files prior to archiving or, where the quantity of documentation is too great, archived separately with a cross-reference made to the existence of a separate bundle.</p>

Section 7: Occupational Health (OH), and Health Surveillance

Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
7.01	Managing and administering routine staff OH.	OH reports to management; OH records unrelated to industrial injury.	Destroy six years after the final date of employment.	Business Requirement.	HR Advisory Team. OH Team.
7.02	Medical and health records, and detailing COSHH health surveillance assessments.	COSHH Assessments; Health records.	Destroy 40 years from the last date of entry.	COSHH Regulations 2002.	OH Team.
7.03	Medical and health records under the Ionising Radiation (Medical) Exposure Act 2000.	OH medical records; Health records.	Destroy 50 years from the last date of entry, or until the employee is 75 years old, whichever is the longer.	Ionising Radiation (Medical) Exposure Act 2000.	OH Team.
7.04	Medical and health records pertaining to asbestos exposure and screening.	OH medical records; Health records.	Destroy 40 years from the last ate of entry, or until the employee is 80 years old, whichever is the longer.	Control of Asbestos Regulations 2012 (Reg. 22).	OH Team.

Reference Number	Functional Description	Examples (intended to be indicative rather than exhaustive)	Retention Period	Justification	Storage Location/Further Information
7.05	Records of OH referrals due to major injuries arising from workplace accidents.	OH medical records.	Destroy six years after the final date of employment.	Aligned to the time limits for civil claims.	OH Team.

It should be noted that the results of health surveillance monitoring (also known as health records) outlined in sections 7.02, 7.03 and 7.04 are given to respective individuals, who may then choose to share this information with others (such as a line manager). This schedule covers only the retention of data by the OH Team.

Section 8: Health and Wellbeing

Reference Number	Functional Description	Examples (intended to be indicative rather than exhaustive)	Retention Period	Justification	Storage Location/Further Information
8.01	Health and Wellbeing events - supporting documentation.	Presentations; Materials.	Until it is deemed that the course is no longer required.	Business requirement.	Staff Health and Wellbeing Team.
8.02	Registration for health and wellbeing events.	Sign-up forms (including digital platforms).	Destroy 18 months after the end of the event.	Business requirement.	Staff Health and Wellbeing Team. Eventbrite.
8.03	Maintaining a network of health and wellbeing champions.	Names; Work emails.	Reviewed annually.	Business requirement.	Staff Health and Wellbeing Team.
8.04	Contacting those interested in Health and Wellbeing topics.	Mailing lists; Waiting lists.	Destroy on withdrawal from membership or waiting lists.	Business requirement.	Staff Health and Wellbeing Team.



Reference Number	Functional Description	Examples (intended to be indicative rather than exhaustive)	Retention Period	Justification	Storage Location/Further Information
			Review every year also to cleanse leavers.		
8.05	Supporting staff volunteering opportunities.	Staff applications.	Destroy 18 months from the date of application.	Business requirement.	Staff Health and Wellbeing Team.
8.06	Responding to ad-hoc enquiries.	Emails.	Destroy two years after the last contact.	Business requirement.	Staff Health and Wellbeing Team.
8.07	Providing an employee assistance programme (EAP), including counselling, and debt and legal advice.	N/A	N/A	N/A	Contact is usually made directly by members of staff to the EAP provider, with records held in line with the EAP's Privacy Notice – none of this information is held or processed by the University. However, on the few occasions where a specific management referral is made, this would be retained by the OH Team on a confidential shared drive for twelve months after the referral.

Section 9: Salaries and Payments

Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
9.01	Statutory maternity pay calculations, certificates, and medical evidence.	Pay calculations; Salary records; Overtime and expenses records; Redundancy records.	Destroy six tax years after the final date of employment (for electronic records), and after six calendar years (for hard copy records).	Business Requirement. In line with HMRC guidance.	Division of Finance. Division of Human Resources.

Section 10: Equity, Diversity, and Inclusion (EDI)

Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
10.01	Supporting EDI-related organisational accreditations.	Athena Swan; Race Equality Charter.	Raw data – retain for ten years from last submission. Final submission – offer to Archives and Special Collections.	Business requirement.	EDI Team. Archives and Special Collections.
10.02	Staff and student demographic data.	Demographic data.	Retain for six years after generation/use, then offer to Archives and Special Collections.	Business requirement.	EDI Team. Archives and Special Collections.



Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
10.03	Analysis of data from focus groups.	Analysis of findings.	Retain for eight years, then offer to Archives and Special Collections.	Business requirement.	EDI Team. Archives and Special Collections.
10.04	Administering focus groups, and obtaining feedback.	Raw data obtained from participants.	Destroy any identifiable data one year after data collection.	Business requirement.	EDI Team.
10.05	Statutory annual reporting and datasets.	Datasets for report submissions.	Destroy datasets five years after submission.	JISC recommendation.	EDI Team.
10.06	Dignity and respect contact service – consultations.	Consultations.	Destroy five years after consultation.	Business requirement.	EDI Team.
10.07	General advice and guidance.	Emails; Presentations.	Destroy three years after the last contact.	Business requirement.	EDI Team.
10.08	Supporting casework.	Case log spreadsheet.	Destroy six years after the last contact.	Limitations Act 1980; Equalities Act 2010.	EDI Team.
10.09	Delivering EDI-related training.	Training materials.	Destroy three years from the withdrawal of training.	Business requirement.	EDI Team.
10.10	Promotional materials for EDI initiatives and events.	Posters; Leaflets.	Retain while current, then offer to Archives and Special Collections.	Business requirement.	EDI Team. Archives and Special Collections.



Reference Number	Functional Description	Examples <small>(intended to be indicative rather than exhaustive)</small>	Retention Period	Justification	Storage Location/Further Information
10.11	Carrying out Equality Impact Assessments.	Equality Impact Assessment Reports.	Destroy six years after review of assessment.	Limitations Act 1980; Equalities Act 2010.	Schools/Departments/Divisions.
10.12	Reporting on REF-related individual circumstances.	Individual Circumstances Forms.	Destroy one year after the associated REF audit phase.	Business requirement.	EDI Team.
10.13	Decisions arising from Fora, action groups, and committees.	Minutes.	Retain for six years after the meeting date, then offer to Archives and Special Collections.	Business requirement.	EDI Team. Archives and Special Collections.
10.14	Administering membership of Fora, action groups, and committees.	Membership lists.	Destroy six years after the meeting date.	Business requirement.	EDI Team.

Guidance relating to locally-held staff records

Most information relating to staff will be retained by the Division of Human Resources, in line with the framework set out above.

It is recognised, however, that some information will need to be stored locally, for operational reasons. Where this is the case, the information must be regularly reviewed by individual Colleges/Schools/Departments/Divisions etc, in line with the guidance and trigger periods set out in this retention schedule.

Examples of documents that **should** be stored locally:

- Completed paper PDD forms for members of staff which existed prior to the full implementation of PDDManager. However, these should not be retained for more than three academic years after the period to which the PDD form relates;
- Historical emergency contact details (however, the functionality on ESS/MSS should be used, wherever possible);
- Staff induction checklists, if not available centrally;
- Copies of recent contract confirmation letters (**solely** in cases where a College/School/Department/Division is required to manage multiple members of staff on fixed-term contracts/funding);
- Shortlisting notes;
- Operational planning documentation;
- WorkSmart Agreements.

Managers may also hold a reasonable amount of information locally regarding their teams, such as notes of 1:1 meetings, performance, and work activities, to facilitate day-to-day operational working. This material must all be held securely.

The retention periods in the main HR schedule apply to centrally held records – local records can be securely destroyed earlier, if required, providing they relate to former members of staff, and not current staff. To summarise, **any** material relating to staff who left the University more than six years ago should not be retained unless there is an explicit audit requirement to do so.

Examples of documents that **should not** be stored locally:

- Right to Work checks;
- Job applications and/or candidate CVs;



Records Management Policy

- Interview notes;
- Fit notes.

If you are unsure whether a particular document should be held locally or centrally, please [get in touch with HR](#).