


## HUMAN RESOURCES DIVISION: Records Retention Schedule (RRS)

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A retention schedule is a list of the minimum records we need to keep, along with the period for which they need to be kept. Schedules are based on the content of the document and they apply equally to paper and electronic documents. This document defines the records retention schedule for records held and owned by the HR Office, and is based on the JISC Higher Education Business Classification Scheme and Records Retention Schedules<sup>1</sup>. Further information about RRSs and their structure including the descriptions of the column headings are available on the UEA website.<sup>2</sup> When employers no longer need to keep certain data, destruction must take place securely and effectively, for example by shredding.

Version	Date	Note
1.0	30 January 2013	Original Document Approved
	January 2018	Document Review Date
2.0	23/04/18	Document Review – First Draft
	19/11/18	Document Review – Second Draft
	20/05/19	Final Document
	20/05/22	Review Date

### General

The following activities may apply to any business area of the organisation, and records relating to them may also be held in other departments.

Activity	Record group	Retention period	Notes
<b>Business Area Strategy Development</b>	Records documenting the development and establishment of the institution's HR Strategy	Superseded + 10 years	Held by HRD and VCO with UEA Strategy
<b>Business Area Policy Development</b>	Records documenting the development and establishment of the institution's HR Policies	Superseded + 10 years	Held by HRD

<sup>1</sup> <http://bcs.jiscinfonet.ac.uk/he/default.asp>

<sup>2</sup> <http://www.uea.ac.uk/is/strategies/infregs/Records+management/RRS>

<b>Activity</b>	<b>Record group</b>	<b>Retention period</b>	<b>Notes</b>
<b>Financial Transactions</b>	Records documenting the payment/reimbursement of applicants' interview expenses	12 months from date appointment offered to successful candidate	Original documentation held by FIN
	Records documenting payments made by credit card for accommodation for candidates invited to interview	Current financial year + 6 years	Original documentation held by FIN
	Records documenting reimbursement of staff expense claims/receipts	Current financial year + 6 years	Original documentation held by FIN
	Records documenting the preparation of monthly/annual accounts	Current financial year + 6 years	Original documentation prepared and held by FIN
	Records documenting the receipt and payment of invoices	Current financial year + 6 years	Original documentation held by FIN
	Records documenting the processing of internal accounting transactions between operating units	Current financial year + 6 years	Original documentation held by FIN
<b>Procurement (Purchasing)</b>	Records documenting the electronic procurement of stationery and other goods	Current financial year + 6 years	Original documentation held by FIN
	Records documenting purchasing authorisation limits	Current financial year + 6 years	Original documentation held by FIN
	Records documenting the use of Purchase Cards	Current financial year + 6 years	Original documentation held by FIN

### **Risk management**

Information held by the Vice-Chancellor's Office (VCO) and in other departments.

<b>Activity</b>	<b>Record group</b>	<b>Retention period</b>	<b>Notes</b>
<b>Business Continuity Plan</b>	Records documenting the formulation, testing and maintenance of disaster response and recovery plans.	Superseded + 1 year	Reviewed annually. Original documentation held by VCO
<b>Risk Identification &amp; Assessment</b>	Records documenting identified risks to the department and assessments of those risks.	Superseded + 1 year	Reviewed annually. Original documentation held by VCO

**Management information collection, analysis and reporting - Information held by the Information Services Directorate (ISD) and other departments.**

<b>Activity</b>	<b>Record group</b>	<b>Retention period</b>	<b>Notes</b>
<b>Management Information Analysis &amp; Reporting</b>	Records documenting the provision of management information reports	Current Year + 3 years	

**Records management - Information held by the Information Services Directorate (ISD) and other departments.**

<b>Activity</b>	<b>Record group</b>	<b>Retention period</b>	<b>Notes</b>
<b>Records Retention</b>	Final versions of Records Retention Schedules	Superseded	Retaining a history of retention periods provides evidence of effective control of records and the basis for disposal of records.

**Human resources management - Information held in Human Resources (HRD) and in other departments.**

<b>Activity</b>	<b>Record group</b>	<b>Retention period</b>	<b>Notes</b>
<b>Recruitment &amp; Selection</b>	Records documenting the initial application, supporting CV, third party references, verification of eligibility to work in the UK and DBS checks (unsuccessful candidates)	12 months from date appointment offered to successful candidate	Destruction of records by secure shredding
	Records documenting the recruitment and selection process, i.e. shortlisting score sheets, interview schedule/panel etc. (unsuccessful candidates)	12 months from date appointment offered to successful candidate	Destruction of records by secure shredding
<b>Staff Records Administration</b>	HESA Staff Records	Indefinitely from 1997	Original documentation held by FPG
	Records documenting HERA Staff Grading Scheme	Duration of employment + 6 years	Destruction of records by secure shredding

Activity	Record group	Retention period	Notes
	Records containing (anonymised) details of Ethnicity, Gender, Religion, Nationality, Disability held on database	Duration of employment + 6 years	Nothing is held outside of the HR system
	Paper records containing employment data of individual members of staff	Duration of employment + 6 years	Destruction of records by secure shredding
	Database record for all current and former employees	Indefinitely (from 1988)	
<b>Staff Records</b>	Records documenting the initial application, supporting CV, third party references, verification of eligibility to work in the UK and DBS checks (Successful Candidates)	Duration of Employment + 6 years	Chartered Institute of Personnel and Development recommends '6 years after employment ceases'. See Retention of personnel and other related records (CIPD, 2006).
	Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts).	Superseded	Held on HR database system
	Records documenting changes to the employee's terms and conditions of employment.	Duration of employment + 6 years	Destruction of records by secure shredding
	Records documenting disciplinary proceedings against the employee, where employment continues.	Closure of case + 6 years	Chartered Institute of Personnel and Development recommends '6 years after employment ceases'. See Retention of personnel and other related records (CIPD, 2006).
	Records documenting entitlements to, and calculations of, Statutory Maternity Pay.	Current tax year + 3 years	SMP payment records held by FIN
	Records documenting grievances raised by the employee which relate directly to his/her own contract of employment, the institution's response, action taken and the outcome.	Closure of case + 6 years	CIPD recommends '6 years after employment ceases'. See Retention of personnel and other related records (CIPD, 2006).
	Records documenting pre-employment health screening of an employee	Duration of employment + 6 years	Occupational Health/UMS hold employee pre-employment health questionnaires.

Activity	Record group	Retention period	Notes
	Records documenting occupational health referrals and reports	Duration of employment + 6 years	Record of occupational health referral/report held by HR and by Occupational Health/UMS
	Records documenting references provided in confidence in support of the employee's application(s) for employment by another organisation.	Provision of reference + 1 year	
	Records documenting routine assessments/reviews of the employee's performance, and any consequent action taken.	Current year + 6 years	
	Departmental appraisal records	Duration of employment + 6 years	Departmental records retained by relevant departments. Not held centrally in HR.
	Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave.	Duration of employment + 6 years	
	Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.	Duration of employment + 6 years	
	Records documenting the employee's absence due to sickness.	Duration of employment + 40 years	FIN hold all records
	Records documenting the employee's contract(s) of employment with the institution.	Duration of employment + 6 years	
	Records documenting the employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	Duration of employment + 6 years	FIN hold all payroll records
	Records documenting the employee's subsequent applications for other jobs within the institution.	Duration of employment + 6 years	
	Records documenting the employee's termination of employment by voluntary resignation, redundancy, retirement (inc. on medical grounds) or dismissal.	Termination of employment + 6 years	

Activity	Record group	Retention period	Notes
	Records documenting the job descriptions of positions held by the employee within the institution.	Duration of employment + 6 years	Documents held on employee's personal file
<b>Industrial Relations Management</b>	Records documenting agreements with Trade Unions	Superseded + 10 years	Chartered Institute of Personnel and Development, Retention of personnel and other related records (CIPD, 2006).
	Records documenting consultations/negotiations with Trade Unions on specific issues	Superseded + 10 years	Chartered Institute of Personnel and Development, Retention of personnel and other related records (CIPD, 2006).
	Records relating to Joint Consultative Committee	Duration of Committee + 10 years	Chartered Institute of Personnel and Development, Retention of personnel and other related records (CIPD, 2006).
<b>UK Visa and Immigration</b>	Sponsor License Application	Duration of the period covered by the license	gov.uk/Visa Sponsorship, Appendix D: Keeping documents guidance for sponsors (07/18)
	Visa files	The shorter period of either: one year from the date UEA end sponsorship of the migrant; or if the migrant is no longer sponsored by UEA, the point at which a compliance officer has examined and approved them	
	Evidence of Right to work in the UK	Duration of Employment + 2 years	Home Office Right to work Guidance (Jan 2019)
	Individual information (evidence of NI number, payslips, history of contact details, letter from parents if migrant under 18, DBS, record of absences)	The shorter period of either: one year from the date UEA end sponsorship of the migrant; or if the migrant is no longer sponsored by UEA, the point at which a compliance officer has examined and approved them	gov.uk/Visa Sponsorship, Appendix D: Keeping documents guidance for sponsors (07/18))
	Resident Labour Market Test information (adverts, ALL applications shortlisted for final interview in the medium received, references, shortlisting scores, interview scores)	The shorter period of either: one year from the date UEA end sponsorship of the migrant; or if the migrant is no longer sponsored by UEA, the point at which a compliance officer has examined and approved them	gov.uk/Visa Sponsorship, Appendix D: Keeping documents guidance for sponsors (07/18)

Activity	Record group	Retention period	Notes
	Tier 4 employee files	The shorter period of either: one year from the date UEA end sponsorship of the migrant; or if the migrant is no longer sponsored by UEA, the point at which a compliance officer has examined and approved them	Right to work documents must be kept for 2 years
	Recording and reporting documentation for Tier 2, Tier 4 and Tier 5	The shorter period of either: one year from the date UEA end sponsorship of the migrant; or if the migrant is no longer sponsored by UEA, the point at which a compliance officer has examined and approved them	gov.uk/Visa Sponsorship, Appendix D: Keeping documents guidance for sponsors (07/18)
	Visitor Visa holders (supporting letters, copy of immigration status check i.e. copy of passport and visa/immigration stamp)	For duration of visit	