

APPENDIX 1: HUMAN RESOURCES SERVICE – DCC RECORDS SCHEDULE

Function	Sub Function	Class of record	Description	Closure Point	Action at Closure	Record Retention Period	Subsequent Action	Authority Guiding Retention
Human resources	Recruitment	Recruitment selection - successful candidate	Shortlisting, interview notes	When applicants have been notified of decision	Keep in business unit	1 year after interview	Secure Destruction	DCC Internal Audit recommendations. Records Management Society recommendations (6.11) CIPD recommendation (based on time limits in various discrimination acts)
Human resources	Recruitment	Clearance – successful candidate	Application form, criminal records check ID documents and applicant's declaration, medical clearance, references, qualifications and memberships	End of contract/ employment	Retained on Personnel file.	6 years after date of leaving	Secure destruction	CIPD recommendation (based on UK Limitation Act 1980)
Human resources	Recruitment	Selection, identity check and clearance Unsuccessful Candidates	Application, shortlisting, interview notes, identity checks, criminal records check ID documents and applicant's declaration, medical clearance, qualifications and memberships	When applicants have been notified of decision	Keep in business unit Criminal records check ID retained on Applicant Tracking system	6 months personal data is removed from checks after 6 months (tbc)	Secure Destruction	CIPD recommendation ACAS guidance
Human Resources	Recruitment	Identity check – successful candidate	Full list – see https://www.gov.uk/government/publications/acceptable-right-	End of contract/ employment	Retained on Personnel file.	6 years after date of leaving delete electronic file		Business need

Function	Sub Function	Class of record	Description	Closure Point	Action at Closure	Record Retention Period	Subsequent Action	Authority Guiding Retention
			to-work-documents-an-employers-guide			keep copies during the applicant's employment and for 2 years after they stop working for you		Right to Work in UK legislation - Immigration, Asylum and Nationality Act 2006 https://www.gov.uk/check-job-applicant-right-to-work
Human Resources	Recruitment	Criminal record check certificate information	Details of criminal convictions, cautions, arrests or other police intelligence, details included in risk assessments	When applicants have been notified of decision	Keep in business unit.	Retain DBS certificate information, its content or any representation of the same in any format for no longer than is necessary and for a maximum of six months following the recruitment decision unless a dispute is raised or, in exceptional circumstances, where DBS agreement is secured	Secure Destruction	DBS code of practice - Section 122 of the Police Act 1997 https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/474742/Code_of_Practice_for_Disclosure_and_Barring_Service_Nov_15.pdf
Human resources	Staff Monitoring records	Hard copy contracts of employment	Contracts signed by employees on initiation of employment	End of contract/employment	Kept on employee's personnel file. Personnel file to RMU at point of leaving	6 years after leaving	Secure Destruction	DCC Internal Audit recommendations. UK Limitation Act 1980 The Terms of Employment (Information) Act, 1994 says "copy of the said statement shall be retained by the employer during the period of the employee's employment and for a period of 1 year thereafter."
Human resources	Staff Monitoring records	Electronic copy contracts of employment	Contracts signed by employees on	End of contract/employment	Kept on computer shared only by	6 years after leaving	Secure Destruction	DCC Internal Audit recommendations. UK Limitation Act 1980

Function	Sub Function	Class of record	Description	Closure Point	Action at Closure	Record Retention Period	Subsequent Action	Authority Guiding Retention
			initiation of employment		HR staff			The Terms of Employment (Information) Act, 1994 says "copy of the said statement shall be retained by the employer during the period of the employee's employment and for a period of 1 year thereafter."
Human resources	Pensioner Monitoring records	Electronic Staff Files, used to record pension payments	Pension payment information	Benefit ceases	Keep in Human resources	12 years after benefit ceases	Secure Destruction	CIPD recommendation
Human resources	Staff Monitoring records	Timesheets	Recording employee's additional work hours	End of financial year	Keep in business unit or transfer to RMU	6 years	Secure Destruction	Taxes Management Act 1970
Human resources	Staff Monitoring records	Analysis of directed time	Used for recharging purposes	End of financial year	Keep in business unit or transfer to RMU	6years	Secure Destruction	NMW/NLW legislation 2015. UK Limitation Act 1980 (contractual claim for breach of contract - can pursue 6 years)
Human resources	Staff Monitoring records	EAR/Sick notes/Data captured from External sources e.g.. Win-shuttles	Staff returns for monitoring purposes such as sick leave etc	End of year	Keep in business unit or transfer to RMU	6 years	Secure Destruction	Non-statutory requirement but retaining reason based on if there was a contractual claim for breach of contract
Human resources	Staff Monitoring records	Staff rotas/timetables	Rotas and timetables	End of financial year	Keep in business unit or transfer to RMU	6 years	Secure Destruction	NMW/NLW legislation 2015. UK Limitation Act 1980 (contractual claim for breach of contract - can pursue 6 years)
Human resources	Staff Monitoring records	Signing-on records		End of financial year	Keep in business unit or transfer to RMU	6 years	Secure Destruction	NMW/NLW legislation 2015. UK Limitation Act 1980 (contractual claim for breach of contract - can pursue 6 years)
Human resources	Staff Monitoring records	Leave sheets	Monitoring staff leave and attendance, e.g. sick leave, jury service, flexi time, annual leave	End of financial year	Keep in business unit or transfer to RMU	6 years	Secure Destruction	NMW/NLW legislation 2015. UK Limitation Act 1980 (contractual claim for breach of contract- can pursue 6 years)

Function	Sub Function	Class of record	Description	Closure Point	Action at Closure	Record Retention Period	Subsequent Action	Authority Guiding Retention
			etc.					
Human resources	Staff Monitoring records	Statutory Maternity/Adoption Paternity records/calculations/ Certificates etc	records/ calculations/ letters/ Certificates etc	End of year	Keep in business unit or transfer to RMU	6 years from the end of employment	Secure Destruction	The Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960) as amended. UK Limitation Act 1980 (contractual claim for breach of contract - can pursue 6 years)
Human resources	Staff Monitoring records	Lease car files	When employees purchases a lease car	Car agreement ceases	Personnel file	6 years after leaving	Secure Destruction	Treated as contractual variation so as per DCC Internal Audit recommendations. UK Limitation Act 1980
Human resources	Staff Monitoring records	Disciplinary and grievances investigations	Processing of disciplinary and grievances investigations where unfounded	Outcome of hearing	Business to destroy immediately after the grievance has been found to be unfounded; or after appeal	Whilst process in place	Secure destruction	Business need
Human resources	Staff Monitoring records	Disciplinary and grievances investigations	Processing of disciplinary and grievances investigations	Outcome of hearing	HR to remove 'spent' warnings but warnings involving Children or when the outcome has been dismissal, remain on the personal file permanently for reference purposes.	Oral Warning – 6 months Written Warning - 1 year. Final Warning - 18 month. The warnings to be removed & destroyed after the relevant time has 'spent'. Warnings Involving Children – Placed on personal file Whilst file is retained.	Secure destruction	UK Limitation Act 1980 (contractual claim for breach of contract - can pursue 6 years)

Function	Sub Function	Class of record	Description	Closure Point	Action at Closure	Record Retention Period	Subsequent Action	Authority Guiding Retention
Human resources	Change Management Process records	JE, restructure or review outcomes	Processing of change management procedures	Completion of the change management process	Outcome of the process to be retained on employee file.	Duration of employment	Secure destruction	Business need
Human resources	Advisory paperwork	Employee Relations management	Processing of people management policies and procedures	Completion of case	Outcome letters and accompanying documentation to be retained on file.	Duration of employment or 1 year from end of employment	Secure destruction	Business need
Human resources	TUPE	Electronic/hard copy documentation	Information, T&Cs, policy documentation surrounding TUPE transfer of employees to and from DCC –due diligence tests.	TUPE transfer	Files for incoming employees to be retained alongside DCC retention schedule. Files for outgoing employees to be transferred to new organisation.	Incoming: until such time as terms and conditions etc. are harmonised. Outgoing: dealt with as a leaver	Review in line with the TUPE conditions reviews.	TUPE Regulations 2006
Human resources	Workforce reporting	Electronic reporting for business intelligences purposes	Requirements for statutory reporting	Annually	Information analysed from reports to be published as statutorily required. Individuals notified as part of fair processing.	Tbc in line with statutory reporting guidelines	Review annually	Gender Pay Gap reporting, requirements from Department for Education, Local Government Transparency Code 2015
Human resources	Staff Monitoring records	Hard copy Staff files. Employee Lifecycle	Files relating to all staff in DCC, incl. schools and customers of DCC	On leaving the service of the Council	Cleanse the Personnel file as per guidance and then Transfer to the RMU	6 years after leaving; unless through ill-health grounds (retain until pensionable age whatever that is at time of review) or	Securely Destroy	CIPD non-statutory Retention periods. Records Management Society recommendations (6.2, 6.16)

Function	Sub Function	Class of record	Description	Closure Point	Action at Closure	Record Retention Period	Subsequent Action	Authority Guiding Retention
						Disciplinary case during employment		
Human resources	Staff Monitoring records	Electronic staff data used to record employment history and pay salaries and pension payments	Data relating to all staff	On leaving the service of the Council		99 years for pension purposes	Review	Pensions Scheme guidance
Human Resources	Staff Monitoring records	Hard copy records of staff working with children.	Files relating to child care workers	On leaving the service of the Council	Transfer to the RMU	Indefinitely, pending outcome of Goddard Inquiry	Review	Records Management Society recommendations (6.3)
Human resources	Staff Monitoring records	General Administration/ financial files	HR/Pay General Administration/ financial files	Financial year	Retained and then destroyed 6 years after tax year, unless specific documents in files that mean documentation should be kept longer	6 years on an annual cyclical basis.	Review annually	DCC business need
Human resources	Staff Monitoring records	MERLIN – historical data held on excel spreadsheets	Staff records, pension details etc. but some data has been removed.	Stored indefinitely on excel spreadsheets	N/A	Records retained for 99 years for pension queries and Local Government Reorganisation	Review	Pensions Scheme guidance
Human resources	Financial	Financial Returns with correspondence with HMRC	Any HMRC data	Financial year	Retained and then destroyed 6 years after tax year	6 years on an annual cyclical basis	Review annually	The income tax (employments) regulations 1993(SI 1993/744) as amended + Records Management Society recommendations (7.9)
Human resources	Financial	Payslips/P11ds/P60s	Financial + personal data	6 years after first document issued	Retained and then destroyed 6 years first document issued	6 years on a monthly cyclical basis	Review monthly	UK Limitation Act 1980 (contractual claim for breach of contract - can pursue 6 years) Business need – 3 rd party accident claims – fraud

Function	Sub Function	Class of record	Description	Closure Point	Action at Closure	Record Retention Period	Subsequent Action	Authority Guiding Retention
								cases.
Human resources	Financial	BACS files	Financial + personal data	Once the BACS has been sent	Stored on server	6 years on a monthly cyclical basis	Review monthly+ then destroy	Business need
Human resources	Reports	Payroll reports	Financial +/- personal data	Once the report has been sent	Stored on server	2 years on a monthly cyclical basis	Review monthly+ then destroy	Business need
Human resources	Staff Monitoring records	OPQ files	Files giving OPQ tests for various job interviews	Completion of interview process	Keep for 6 months then Destroy	6 months		DCC Business need (as identified in Information Audit by HR 17/3/03)
Human resources	Pay & Rewards	Job Evaluation: Panel papers	Decisions about the JE process	Size of file	Keep until project completed then transfer to RMU	6 years	Review for long term preservation. Policy documents	DCC Business need (as identified in Information Audit by HR 17/3/03) Staffordshire CC destroy 6 years after end of process
Human resources	Pay & Rewards	Job Evaluation: Individual Post files* (see at end of table)	Interview, questionnaires, panel and chairman's notes of individuals re to job evaluation exercise	At end of process	Enter onto database then keep until project completed then review to see if need to keep	6 years	Review	DCC Business need (as identified in Information Audit by HR 17/3/03) Staffordshire CC destroy 6 years after end of process
Human resources	Occupational Health	Sickness Absence Management Pilot	Papers relating to a pilot scheme managing sickness absence	Leaving employment with DCC	Transfer to the RMU.	30 years after leaving employment with DCC	Destroy	DCC Business need
Human resources	Occupational Health	Pre-employment files	Health questionnaire for successful candidates. Batched annually	End of the year	Transfer to RMU	45 years	Destroy	DCC Business need (as identified in Information Audit by HR 17/3/03) Access to Medical Reports Act 1998 states 6 years after termination of contract
Human resources	Health, Safety and Welfare	Health & Safety DSE Regulations: work	Work station assessments	End of Year	Transfer to RMU annually	6 years after last reports	Destroy	Health and Safety at Work Act 1974

Function	Sub Function	Class of record	Description	Closure Point	Action at Closure	Record Retention Period	Subsequent Action	Authority Guiding Retention
		station assessment						
Human resources	Health, Safety and Welfare	Health & Safety Accident and Incident Reports	Accident and Incident Reports	Date of incident	Held on database. Paper form transfer to RMU	Adults – Date of incident + 7 years. Children – DOB of child + 25 years	Secure destruction	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 and Social Security (Claims and Payments) Regulations 1979 Regulation 25. Social Security Administration Act 1992 Section 8. Limitation Act 1980.
Human resources	Health, Safety and Welfare	Document for HSE	RIDDOR notification to HSE	Date created	Transfer to RMU	12 years	Secure destruction	SCC period, guided by Limitation Act 1980
Human resources	Health, Safety and Welfare	Appointment of First Aiders	List of details of First Aiders	Point of leaving	Electronic notification to Health and Safety of person leaving linked to termination of pay record		Remove names from list	Health and Safety (first Aid) regulations 1981
Human resources	Learning and Development	Learning and Development: finance	Finance records relating to the running of training courses	Size of file	Keep current and previous year then transfer to RMU	6 financial years after completion	Destroy	DCC Internal Audit guidance
Human resources	Learning and Development	Learning and Development: - Individual staff training records	Individual records of training undertaken by staff members		Keep current year then transfer to RMU	6 years after completion of course	Destroy	DCC Internal Audit guidance follows Records Management Society recommendations (6.17)
Human resources	Learning and Development	Learning and Development: administration files for courses	Administration in support of courses and other learning and development interventions	Completion of course	Keep current year then transfer to RMU	6 years after completion	Destroy	DCC Internal Audit guidance follows Records Management Society recommendations (6.17)
Human resources	Learning and Development	Learning and Development: Course information	Course information such as course	End of financial year	Keep current year then transfer to	6 financial years	Destroy	DCC Internal Audit guidance follows Records Management Society

Function	Sub Function	Class of record	Description	Closure Point	Action at Closure	Record Retention Period	Subsequent Action	Authority Guiding Retention
			details, cost and attendance		RMU			recommendations (6.17)
Human resources	Learning and Development	Learning and Development: Individual training records	Individual records of learning and development undertaken and identified needs by individual	Destroy When employee leaves service of County Council	Electronic Lotus Notes database			DCC Business need (as identified in Information Audit by HR 17/3/03)
Human Resources	Learning & Development	Modern Apprentice records	Records concerning modern apprentices employed by DCC	When leave DCC employment	Review	6 clear year after leaving DCC	Destroy	DCC Business need (as identified in Information Audit by HR 17/3/03)