

Glasgow Caledonian University			
Records Retention Schedule		Human Resources (People Services)	
Approved by	Alex Killick	Date	24 May 2017
Review Date	May 2019	Version	V07

Function	Page		
HR1 Absence Management Casework	1	HR10 Personnel Records	6
HR2 Academic Promotions	2	HR11 Recruitment	8
HR3 Childcare	3	HR12 Restructuring Casework	9
HR4 Cycleplus	3	HR13 Temporary Staff	10
HR5 Disciplinary/Grievance investigation	3	HR14 VERS	10
HR6 People Policies	4	HR15 Health and Safety	11
HR7 Joint Consultative Committee	4	HR16 Organisational Development	13
HR8 Occupational Health	5	HR17 Equality and Diversity	13
HR9 Oracle	5		

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
<b>HR1</b>	<b>Absence Management</b>						
HR1.1	Absence Management Casework	Self-Certificates and Medical Certificates	Termination of employment	Keep for 1 year after termination of employment then send to Records Store at the end of each calendar year	5 years	Date employment terminated plus 6 years	Business Requirement
HR1.2	Occupational Health Absence	OH Management Referral forms; OH Reports; Line	Closure of case	Automatically updated on electronic Pam	N/A	Master copy held by Pam Group in OHIO	On termination of employment, company should keep on system

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
		Managers\HR email correspondence; Letter correspondence to/from employee concerning managing absence/half pay etc. (PAM Group OHIO)		Group Ohio system once case closed. To be kept on system on termination of employment plus 6 years		electronic system for 6 years from termination of employment	for a further 6 years then destroy
HR1.3	Correspondence re absence	Line Managers\HR email correspondence; Letter correspondence to/from employee concerning managing absence/half pay etc.	Termination of employment	On termination of employment plus 1 year then sent to Records Store at end of each calendar year	5 years	Date employment terminated plus 6 years	Business Requirement
HR1.4	Return to work meeting	Notes of Return to Work meeting	Date returned to work	Retain for 2 years in Department then sent to Records Store at the end of the calendar year	2 years	4 years from conclusion of meeting with employee	Not held in Personnel file held separately
<b>HR2</b>	<b>Academic Promotions</b>						
HR2.1	Academic Promotions -	Individual submissions; Output of individual	Conclusion of submission	At conclusion of submission plus 2	2 years from date	3 years	Business Requirement

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
	Submissions	SMT consideration of submissions		years. Then send documentation to Records Centre each calendar year	of submission		
HR2.2	Academic Promotions - Appeals	Output of University Promotions Appeal Panel; Individual appeal submissions	Last action on case	Last action on case then hold in department for 1 calendar year then send to records store	2 years from last action on submission	3 years	Business Requirement
<b>HR3</b>	<b>Childcare</b>						
HR3.1	Childcare Vouchers	Completed Application forms; Completed Lifestyle Change forms all on-line (Adenred)	Held online by Adenred for as long as people are members	N/A	N/A	Master copies held by Adenred until membership is concluded	Business Requirement
<b>HR4</b>	<b>Compensations and Benefits</b>						
HR4.1	Cycle to Work	Completed individual agreed hire agreements on-line. (Halfords)	Held online by Halfords for as long as people are members	N/A	N/A	Master copies held by Halfords until membership concluded	Business Requirement
<b>HR5</b>	<b>Disciplinary/Grievance/investigations</b>						
HR5.1	Casework	An electronic copy is	End of case	Keep in	N/A	Last action on	Business Requirement

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
		stored on the Common Drive. This is the master copy  Paper copies of notes of meeting, All correspondence and paperwork, appeal documentation	End of case	Department from last action on the case plus 6 years then delete  Last action on case plus 6 months or 1 year depending on length of warning	N/A	case plus 6 years then delete  N/A	If the warning is for 6 or 12 months a copy is placed in the person's personnel file then taken out after the appropriate time has lapsed
<b>HR6</b>	<b>Human Resources</b>						
HR6.1	Human Resource Policies	Master copies of current policies	When superseded by new/updated policy	Filed in common drive for 10 years from date it was superseded then passed to Archives	N/A	10 years then Archives	
<b>HR7</b>	<b>Joint Consultative Committee (JCC) (Joint Unions)</b>						
HR7.1	Correspondence	General correspondence and e-mail regarding strikes and agreements and consultation/negotiations with Trade Unions on specific issues	Filed once dealt with	Retain in Department for 2 years	N/A	2 years	

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
<b>HR8</b>	<b>Occupational Health</b>						
HR8.1	Staff Occupational Health Records	Personnel records relating to specific staff	Termination of contract	File in OH main office until termination of employment then file in archive files within OH office	n/a	Up to 40 years	<p>Responsibility for retention and storage of OH personal records lies with the Occupational Health provider</p> <p>40 years are required for anyone with Health Surveillance issues</p> <p>If staff move to a different employer the employer can ask for a copy of their OH file. This is supplied by the OH office.</p>
<b>HR9</b>	<b>ORACLE</b>						
HR9.1	Performance Development Annual Review (PDAR)	PDAR	Paperwork is held individual only on the ESS system	Updated PDAR forms are uploaded onto HR Oracle, Employee Self Service (ESS) system by employee each calendar Year. Review discussions should take place	N/A	Until termination of employment	Files are kept as a track of current and previous forms completed to line-manager. Accessible to employee until termination of their employment

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
				between May and October.			
HR9.2	Performance Management Casework	Notes of meetings, correspondence, e-mail correspondence	Last action on case plus 1 year	Keep in People Services until last action on case plus 6 years.  Kept as an electronic file on the common drive for 6 years then delete/destroy	n/a	6 years from date of leaving	Electronic file held only in common drive
<b>HR10</b>	<b>Personnel Records</b>						
HR10.1	Applications	Unsolicited applications for employment	Receipt of application	Keep in Department for 1 year then shred.	N/A	1 year	
HR10.2	Successful applications	References, successful applications and CVs, offer letter, terms and conditions	Termination of employment	Upon termination of employment hold for 1 calendar year then send to records store  Electronic file of job profile held in Common Drive under 'Job Family'	5 years	6 years from termination of employment	All applications are held electronically on My Jobs Scotland  Candidate packs held electronic in Common drive in job family.

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
				Details of job etc held in Personnel file			
HR10.3	Personnel records	Copy of passport, qualifications, OH clearance (routine pre-employment screening), references, contract, contract variations, visas	Termination of employment	Termination of employment then leaver's files sent to Records Store at the end of the each calendar year	5 years	6 years	All copies held on employees personal file
HR10.4	Disclosure	Disclosure Scotland/PVG	6 months maximum from date of application then destroyed	Shred A record of certain data will be kept by the department in a file separate from the employee's file	N/A	6 months for form and response Basic University form listing data is kept for duration of employment	The applicant is a certified member of PVG for the length of time they are with the University.
HR10.5	Maternity/ Paternity	Maternity/paternity documentation (entitlement and calculations of pay)	Termination of employment	On termination of employment plus 1 year then sent to Records Store	5 years	6 years	Held in personal file
HR10.6	References given for staff	References provided in support of employee's application to other	Provision of reference	Retain 1 year in Department. Electronic file	n/a	1 year	

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
		organisations		held in common drive then deleted			
HR10.7	Statutory Leave	Documentation concerning the authorisation and administration of statutory leave (e.g. parental leave) or compassionate leave or study leave	Completion of leave	On termination of employment plus 1 year then sent to Records Store	5 years	6 years from completion of leave	All copies where appropriate held on employees personal file
<b>HR 11 Recruitment – moved to My Jobs Scotland (electronic system as of 1 August 2015)</b>							
HR11.1	Recruitment paperwork – Successful candidate	Post profile, advert shortlist paperwork, interview paperwork	Completion of recruitment process	Successful candidate will have a copy of these documents in their Personnel file. Held for duration of employment plus 1 year then sent to records store	5 years	6 years	Electronic copy of post profile kept on the Common drive.
	Recruitment paperwork – Unsuccessful candidate	Post profile, advert shortlist paperwork, interview paperwork	Completion of recruitment process	Unsuccessful candidates information should be shredded 6 months after	n/a	6 months	



Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
				appointment made			
HR11.2	Recruitment paperwork	Paperwork issued to Recruitment Panels	On completion of recruitment process	Once recruitment process completed keep decision sheet for 6 months then shred	n/a	Not held. Shred once recruitment process completed	
HR11.3	Recruitment: Successful migrant workers	Advert , Application form (successful applicants), copy of passport, visa, references provided by applicant's referees, copy of qualifications, interview notes, Decision sheet, shortlist paper work, job description	Termination of employment	Retain in department for 1 year then send to records store	5 years	6 years from termination of employment	Or as advised by Home Office
HR11.4	Recruitment: Migrant workers unsuccessful migrant workers	Advert , Application form (successful applicants), copy of passport, visa, references provided by applicant's referees, copy of qualifications, interview notes, shortlist paper work,	Unsuccessful candidates information is kept for 1 year from interview date then shredded	Shred	N/A	1 year	Or as advised by Home Office

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
		job description					
<b>HR12</b>	<b>Restructuring Casework</b>						
HR12.1	Records relating to restructuring	Notes of meetings, e-mail correspondence concerning restructuring, general documentation	Completion of process	Forward to Records Store at the end of the process plus 1 yr	5 years	6 years from completion of process, then review for Archives	
<b>HR13</b>	<b>Temporary Staff</b>						
HR13.1	Casual hours	Casual hours	Termination employment	Folder held in e-mail system under School/ Department with necessary attachments ie passport/visa information. Attachments then added to Oracle	n/a	5 years	Casual Hours mail box is used to receive any requests for casual staff from Schools and Departments
HR13.2	Agency staff	Booking form completed by department and sent to People Services and CVs sent to department to consider	Employment confirmation	Successful applicant's CV saved in common drive for one year	N/A	1 year	Forms completed by department for additional temporary resource. Successful CV saved in common drive
HR13.3	Part-time lecturers	Part-time lecturing staff contracts	Termination of employment	Termination of employment plus one year then	5 years	6 years	

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
				sent to Records Store			
<b>HR14</b>	<b>VERS</b>						
HR14.1	Voluntary Early Release Scheme	VERS Policy, Application forms (accepted/rejected for VERS), outcome letters to employees, signed Employee compromise agreements, pension correspondence with fundholder/employee, General email correspondence	Termination of employment	Termination of employment plus keep 1 year then sent to records store at the end of each calendar year	5 years	6 years	
<b>HR15</b>	<b>Health and Safety Audits</b>						
HR15.1	Internal/external Audits and inspections	Audit Report – held electronically on Common drive	Completion of audit plus 10 year	Keep on Common drive for 10 years then delete	n/a	10 years	
HR15.2	Health and Safety Forum - Records	Electronic agenda, minutes, papers, membership	Completion of meeting	Keep for 10 years on Common drive then delete each calendar year	n/a	10 years	Court Health and Safety Committee records are on Court Retention Schedule
HR15.3	Policies and Procedures	Electronic Health and Safety, Incident Reporting, Lone Working, Management of Health and Safety at Work, Manual Handling, Noise at Work, Personal	When procedures are superseded	Current year plus 49 years	N/A	50 years	The Department will also hold the electronic documents on the Common drive

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
		Protective Equipment, Safety in the Workplace, Work Equipment					
HR15.4	Control of Substances Hazardous to Health	Policy Guidance document	When procedures are superseded	Current year in Department plus 49 years	N/A	50 years	The Department will also hold the electronic documents on the Common drive
HR15.5	Reports	Bi-annual Health and Safety Report to University Executive Board, Annual Summary Report to Director of HR, School/Professional Departments Bi-annual Health and Safety Reports	Current plus 10 years	Reports kept for current year plus 10 years then sent to Archives directly	N/A	Send to Archives	Send directly to Archives
HR15.6	Incident reports	Incident reports for hazardous substances	Last action on event plus 1 year	Kept in Department for 1 year then sent to Records Centre	Retain for 10 years	Archive	
HR15.7	Reports-Internal/External	Incident Report forms, RIDDOR reports as submitted to HSE, RIDDOR forms* and supporting evidence, USHA report (annual report on accident	Current year plus 10 years	Keep for 11 years then send to be Archives	N/A	Archive	Sent directly to Archives

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
		stats)					
HR15.8	Display Screen Equipment Risk Assessment (DSE) (Cardinus)	On-line reports on DSE Assessment, Risk Assessments and Training Records for individuals	Amendments automatically updated on completion of DSE Risk assessment on Cardinus system	N/A	N/A	N/A	Information held on electronic system indefinitely. Details can be archived when a member of staff changes department leaves the University
HR15.9	Health and Safety Training (Cardinus)	Health and Safety training, information and instructions provided eg Risk assessment, Manual Handling, DSE Assessor etc	When superseded or on completion of training course	N/A	N/A	Information held on electronic system indefinitely. Details are stored to show department history of staff movement throughout their time at the university.	
HR15.10	Health and Safety Policies/ Procedures	Master copies of current policies	When superseded by new/updated policy	Kept in the department electronically	N/A	10 years then send to Archives	
<b>HR16</b>	<b>Organisational Development</b>						
HR16.1	Training Evaluation	Electronic course evaluation forms	End of course once data has	Held electronically in	N/A	Information held on	Information held indefinitely as electronic

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
			been analysed	Survey Monkey software		electronic system indefinitely.	recording system used
<b>HR17</b>	<b>Equality and Diversity</b>						
HR17.1	Equality and Diversity monitoring data (current staff)	School/Department staff profile information by protected characteristic	Once information is superseded by new data	Held electronically on Common Drive then deleted after 1 calendar year	N/A	1 year	This data is for current staff
HR17.2	Equality and Diversity monitoring data (recruitment only data)	School/Department staff profile information by protected characteristic	Once information is superseded by new data	Held electronically on Common Drive then deleted after 1 calendar year	n/a	1 year	This data is for people who apply for jobs within the University
HR17.3	Equality and Diversity training (Marshall)	Training completion records	Amendments automatically updated on completion of Equality and Diversity training on Marshalls system	N/A	N/A	5 years	Information held on Marshalls electronic system
HR17.4	Equality and Diversity training (Marshalls) independent	Specific data in relation to staff information run from Marshalls on-line system	Date information superseded by new data	Electronic files held in Common Drive for reference	n/a	5 years	

Code	Record series	Examples of records	Retention Trigger	Department Action	Years in Records Centre (if used)	Retention Action (Total)	Notes/Citation
	reports from system			purposes. Delete after 5 years			
HR17.5	Equality Impact Assessment	Completed Equality Impact Assessment templates for School/Department policy/Strategy/document	To be kept for the duration of the policy/strategy/document that has been assessed	Keep as part of policy/strategy/document once superseded, shred	N/A	Lifespan of associated policy	Information published on GCU Website or regulatory purposes for lifespan of policy. Document held with policy for its lifetime. New EIA required for new policy
HR17.6	General enquiries/correspondence	E-mails and paper general enquiries	On completion of enquiry	Stored on GCU main e-mail system. Paper copies of enquiries once dealt with are destroyed. Any correspondence with a specific issue should be filed in an appropriate folder on the Departmental Common Drive	N/A	3 years	All documentation will be available from the Common Drive for 3 years.