

### HUMAN RESOURCES RECORDS RETENTION SCHEDULE

	Description of Records	Retention Trigger and Retention Period	Disposal Action	Rationale for Retention Period and Disposal Action	Records Owner
	<b>HR Strategy, policies and procedures.</b>				
<b>HR 1</b>	<b>Human Resources Strategy Development</b>				
<b>HR 1.1</b>	Records documenting the development and establishment of the institution's human resources strategy: key records	Superseded + 10 years	Review	JISC recommendation	Human Resources Director
<b>HR 1.2</b>	Records documenting the development and establishment of the institution's human resources strategy: working papers	Issue of strategy + 1 year	Destroy	JISC recommendation	Human Resources Director
	<b>HR 2 Human Resources Management Policy Development</b>				
<b>HR 2.1</b>	Records documenting the development and establishment of the institution's human resources management policies: key records	Superseded + 10 years	Review	JISC recommendation	Human Resources Director
<b>HR 2.2</b>	Records documenting the development and establishment of the institution's human resources management policies: working papers	Issue of policy + 1 year	Destroy	JISC recommendation	Human Resources Director
	<b>HR 3 Human Resources Management Procedure Development</b>				
<b>HR 3.1</b>	Master copies of procedures relating to human resources management	Superseded + 10 years	Review	JISC recommendation	Human Resources Director
<b>HR 3.2</b>	Records documenting the development of the institution's procedures relating to human resources management.	Issue of procedure + 1 year	Destroy	JISC recommendation	Human Resources Director
	<b>Human Resources Management</b>				
<b>HR 4</b>	<b>Workforce Planning</b>				
<b>HR 4.1</b>	Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements	Current year + 3 years	Review	JISC recommendation	HR Business Partner
<b>HR 4.2</b>	Records documenting management succession plans	Superseded + 5 years	Review	JISC recommendation	HR Business Partner
<b>HR 4.3</b>	Records documenting the development and evaluation of job specifications	Superseded + 5 years	Review / Destroy	JISC recommendation	HR Business Partner
	<b>HR 5 Workforce Recruitment</b>				
<b>HR 5.1</b>	Records documenting internal authorisation for recruitment including EPAF	Current year + 3 years	Delete/Redact from EPAF System	Business Process	HR Services
<b>HR 5.2</b>	Records documenting the advertising of vacancies	Current year + 3 years	Destroy	Business Process	Resourcing
<b>HR 5.3</b>	Records documenting enquiries about vacancies and requests for application forms	Completion of recruitment process	Destroy	JISC recommendation	Resourcing
<b>HR 5.4</b>	Records documenting the handling of applications for vacancies: unsuccessful applications	Current year + 5 years	Delete from iTrent	Business Process (Athena Swan requirement)	Resourcing / HR Services
<b>HR 5.5</b>	Records containing management analyses of recruitment effectiveness e.g. use of advertising media	Current year + 3 years	Destroy	Business Process	Resourcing / HR Services
<b>HR 5.6</b>	Records documenting an external applicant's login to web recruitment portal and applications attached to the portal	Current year + 5 years	Delete from iTrent	System requirement and/or business process	HR Services
	<b>HR 6 Employee Contract Management</b>				
<b>HR 6.1</b>	Records documenting the handling of an employee's initial application for employment with the institution, including advertisement, job description, application form, shortlisting notes, interview notes, references and any other supporting documentation supplied by third parties	Retain core staff record indefinitely. Termination of employment + 6 years for documents.	Retain core staff record on iTrent. Delete associated documents from Document Manager	System requirement and/or business process	HR Services
<b>HR 6.2</b>	Core staff iTrent record including full name, date of birth, national insurance number, staff / payroll number, positions held, dates of employment and pension data.	Retain core staff record indefinitely. Termination of employment + 6 years for documents.	Retain core staff record on iTrent. Delete associated documents from Document Manager	System requirement and/or business process	HR Services
<b>HR 6.3</b>	Records documenting the employee's contract(s) of employment with the institution	Termination of employment + 6 years.	Delete from Document Manager	Limitation (NI) Order 1989	HR Services
<b>HR 6.4</b>	Records documenting the employee's right to work within the institution including any Tier 2 / 4 / 5 documentation and documents required for compliance with sponsor duties.	Termination of employment + 6 years.	Retain core staff record on iTrent. Delete associated documents from Document Manager	System requirement and/or business process	HR Services
<b>HR 6.5</b>	Records documenting the employee's subsequent applications for other jobs within the institution	Termination of employment + 6 years.	Retain core staff record on iTrent. Delete associated documents from Document Manager	System requirement and/or business process	Resourcing / HR Services
<b>HR 6.6</b>	Records documenting changes to the employee's terms and conditions of employment	Retain core staff record indefinitely. Termination of employment + 6 years for documents.	Retain core staff record on iTrent. Delete associated documents from Document Manager	System requirement and/or business process	HR Services

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HR 6.7	Records documenting the job descriptions of positions held by the employee within the institution	Termination of employment + 6 years.	Delete from Document Manager	Limitation (NI) Order 1989	HR Services
HR 6.8	Records documenting induction programmes attended by the employee	Retain core staff record indefinitely.	Retain core staff record on iTrent.	System requirement and/or business process	HR Services
HR 6.9	Records documenting the employee's training and development needs, and the action taken to meet these needs	Current year + 5 years	Destroy	JISC recommendation	Organisational Development
HR 6.10	Records documenting job-specific statutory/regulatory training requirements for the employee, and the training provided to meet these requirements	Retain iTrent record of training indefinitely. Other training - Expiry of certification + 6 years OR Superseded + 6 years	Retain core staff record on iTrent. Delete or destroy documents associated with other training	System requirement and/or business process or Limitation (NI) Order 1989	Organisational Development
HR 6.11	Records documenting probation and any consequent action taken	Termination of employment + 6 years	Delete from Document Manager	Limitation (NI) Order 1989	HR Services
HR 6.12	Records documenting routine appraisals and any consequent action taken	Superseded + 3 years	Destroy	JISC recommendation	Schools / Directorates
HR 6.13	Records documenting disciplinary proceedings against the employee, where employment continues	Closure of case + 6 years	Delete from Document Manager	Common HR practice	HR Business Partner
HR 6.14	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	Delete from Document Manager	Common HR practice	HR Business Partner
HR 6.15	Records documenting the employee's remuneration and rewards (e.g. discretionary awards, accelerated increments, bonuses, etc.)	Retain core staff record indefinitely. Termination of employment + 6 years for documents.	Retain core staff record on iTrent. Delete associated documents from Document Manager	Limitation (NI) Order 1989; Taxes Management Act 1970	Reward / HR Services
HR 6.16	Records relating to the administration of the employee's contractual holiday entitlement	Current year + 1 year	Destroy	JISC recommendation	Schools / Directorates
HR 6.17	Records documenting the employee's absence due to sickness and return to work forms	Retain core staff record indefinitely. Termination of employment + 6 years for documents.	Retain core staff record on iTrent. Delete associated documents from Document Manager	System requirement and/or business process	HR Services
HR 6.18	Employee's occupational Health Record	Termination of employment + 40 years	Destroy	Control of Asbestos at Work Regulations: SI 2006/2739; Control of Lead at Work Regulations: SI 2002/2676; Control of Noise at Work Regulations SI 2005/1643; Control of Substances Hazardous to Health Regulations: SI 2002/267	Reward and Employee Relations
HR 6.19	Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave etc.	Retain core staff record indefinitely. Termination of employment + 6 years for documents.	Retain core staff record on iTrent. Delete associated documents from Document Manager	System requirement and/or business process	HR Services
HR 6.20	Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave, adoption leave etc.	Retain core staff record indefinitely. Termination of employment + 6 years for documents.	Retain core staff record on iTrent. Delete associated documents from Document Manager	System requirement and/or business process	HR Services
HR 6.21	Records documenting entitlements to, and calculations of, Statutory Maternity Pay	Retain core staff record indefinitely. Termination of employment + 6 years for documents.	Retain core staff record on iTrent. Delete associated documents from Document Manager	System requirement and/or business process	HR Services
HR 6.22	Records containing employee's basic personal details (e.g. address, next of kin, emergency contacts)	Retain core staff record indefinitely. Termination of employment + 6 years for documents.	Retain core staff record on iTrent. Delete associated documents from Document Manager	System requirement and/or business process	HR Services
HR 6.23	Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment	See HEALTH & SAFETY MANAGEMENT - HAZARDOUS SUBSTANCE EXPOSURE CONTROL.			Health & Safety Services
HR 6.24	Records documenting pre-employment health screening of an employee	Retain core staff record indefinitely. Termination of employment + 6 years for documents.	Retain core staff record on iTrent. Delete associated documents from Document Manager	Limitation (NI) Order 1989	HR Services
HR 6.25	Records documenting the issue of personal protective equipment/other special equipment to an employee	Termination of employment + 6 years	Review / destroy	Limitation (NI) Order 1989	Health & Safety Services
HR 6.26	Records documenting major injuries to an employee arising from accidents in the workplace	Termination of employment + 40 years	Review / destroy	Limitation (NI) Order 1989	Health & Safety Services
HR 6.27	Records documenting the employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal	Retain core staff record indefinitely. Termination of employment + 6 years for documents.	Retain core staff record on iTrent. Delete associated documents from Document Manager	Limitation (NI) Order 1989	HR Services

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HR 6.28	Records relating to concerns about an employee's suitability to work with children	Last action on case + 10 years or until retirement whichever is the later	Destroy	NSPCC guidance on child protection records; DfES - Safeguarding Children and Safer Recruitment in Education (Section 5.10)	HR Business Partner
HR 6.29	Records documenting correspondence (references) provided to confirm factual employment dates and positions	Provision of reference + 1 year	Delete from Document Manager	JISC recommendation	HR Services
<b>HR 7</b>	<b>Workforce Induction</b>				
HR 7.1	Records documenting the development, overall delivery and assessment of induction programmes for new employees	Current year + 5 years	Review	JISC recommendation	School / Directorate (local induction) Organisational Development (central induction)
HR 7.2	Records documenting the administration of induction programmes	Completion of programme + 1 year OR Termination of programme + 1 year	Destroy	JISC recommendation	School / Directorate (local induction) Organisational Development (central induction)
<b>HR 8</b>	<b>Workforce Training and Development</b>				
HR 8.1	Records containing summary information on workforce training and development needs	Current year + 5 years	Review	JISC recommendation	Schools / Directorates
HR 8.2	Records documenting the development of training and development programmes to meet defined needs	Completion of programme + 5 years	Review	JISC recommendation	Schools / Directorates
HR 8.3	Records containing individual feedback on training and development programmes	Completion of analysis of feedback	Destroy	JISC recommendation	Organisational Development
<b>HR 9</b>	<b>Workforce Performance Management</b>				
HR 9.1	Records documenting the development of appraisal system	Life of appraisal system + 5 years	Review	JISC recommendation	Reward and Employee Relations
HR 9.2	Records containing summary (anonymised) results of employees' appraisals	Current year + 3 years	Destroy	JISC recommendation	Reward and Employee Relations
HR 9.3	Records documenting management analyses of the impact of workforce appraisal systems	Current year + 5 years	Destroy	JISC recommendation	Reward and Employee Relations
<b>HR 10</b>	<b>Workforce Remuneration &amp; Reward Management</b>				
HR 10.1	Records documenting the development of the institution's remuneration structure	Current year + 10 years	Review	JISC recommendation	Reward and Employee Relations
HR 10.2	Records documenting pay reviews	Current year + 5 years	Destroy	JISC recommendation	Reward and Employee Relations
HR 10.3	Records documenting special reward schemes (e.g. Merit Reviews)	Termination of scheme + 5 years	Review	JISC recommendation	Reward and Employee Relations
<b>HR 11</b>	<b>Workforce Relations Management</b>				
HR 11.1	Records documenting the design of workforce surveys and consultations	Completion of survey/consultation + 5 years	Destroy	JISC recommendation	Organisational Development
HR 11.2	Records containing (identifiable) individual responses to workforce surveys and consultations	Completion of analysis of responses	Destroy	JISC recommendation	Organisational Development
HR 11.3	Records containing summary (anonymised) results of workforce surveys and consultations	Completion of survey + 5 years	Destroy	JISC recommendation	Organisational Development
HR 11.4	Records documenting grievances raised by staff (which do not relate directly to their own contracts of employment), the institution's response, action taken and the outcome	Last action on case + 6 years	Destroy	Limitation (NI) Order 1989	Organisational Development
<b>HR 12</b>	<b>Industrial Relations Management</b>				
HR 12.1	Institutional recognition / derecognition of trades unions	Derecognition + 6 years	Destroy	Limitation (NI) Order 1989	Reward and Employee Relations
HR 12.2	Trade union agreements	Termination of agreement + 10 years	Destroy	Chartered Institute of Personnel and Development, <i>Retention of personnel and other related records</i> (2006)	Reward and Employee Relations
HR 12.3	Records documenting routine communications with trade union representatives, including minutes of meetings	Current year + 20 years	Destroy	JISC recommendation	Reward and Employee Relations
HR 12.4	Records documenting consultations / negotiations with trade unions on specific issues	Last action on issue + 20 years	Destroy	JISC recommendation	Reward and Employee Relations

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<b>HR 13</b>	<b>Pension Schemes Administration</b>				
<b>HR 13.1</b>	Records documenting the institution's relationships with pension schemes to which all or part of its workforce belongs	Termination of relationship + 5 years	Destroy	JISC recommendation	Reward and Employee Relations
<b>HR 13.2</b>	Records documenting routine communications with the pension schemes	Current year + 5 years	Destroy	JISC recommendation	Reward and Employee Relations
	<b>Equality and Diversity Management</b>				
<b>HR 14</b>	<b>Equality &amp; Diversity Equality Scheme</b>				
<b>HR 14.1</b>	Records documenting the development and establishment of the institution's equality and diversity strategy: key records	Superseded + 5 years	Review	JISC recommendation	Diversity and Inclusion
<b>HR 14.2</b>	Records documenting the development and establishment of the institution's equality and diversity strategy: working papers	Issue of strategy + 1 year	Destroy	JISC recommendation	Diversity and Inclusion
<b>HR 15</b>	<b>Equality &amp; Diversity Policy Development</b>				
<b>HR 15.1</b>	Records documenting the development and establishment of the institution's policies on equality and diversity: key records	Superseded + 5 years	Review	JISC recommendation	Diversity and Inclusion
<b>HR 15.2</b>	Records documenting the development and establishment of the institution's policies on equality and diversity: working papers	Issue of policy + 1 year	Destroy	JISC recommendation	Diversity and Inclusion
<b>HR 16</b>	<b>Equality &amp; Diversity Policy Development</b>				
<b>HR 16.1</b>	Master copies of policies relating to the screening of equality and diversity	Superseded + 3 years	Review	JISC recommendation	Diversity and Inclusion
<b>HR 16.2</b>	Records documenting the development of the institution's policy relating to equality and diversity	Issue of procedures + 1 year	Destroy	JISC recommendation	Diversity and Inclusion
<b>HR 17</b>	<b>Equality &amp; Diversity Monitoring</b>				
<b>HR 17.1</b>	Records containing summary statistical information resulting from equality monitoring	Current year + 15 years	Destroy	Business Process	Diversity and Inclusion
<b>HR 17.2</b>	Source data for Equality Monitoring of University activity used to produce summary data above	Current year + 5 years	Destroy	Business Process	Diversity and Inclusion
<b>HR 17.3</b>	Staff Monitoring Form Hard Copy and Online	Retain core staff record indefinitely. Termination of employment + 6 years for documents.	Retain core staff record on iTrent. Delete associated documents from Document Manager	Business Process	Diversity and Inclusion
<b>HR 17.4</b>	Applicant Monitoring Form Hard Copy and Online	Current year + 5 years	Destroy	Business Process	Diversity and Inclusion
<b>HR 18</b>	<b>Equality &amp; Diversity Training</b>				
<b>HR 18.1</b>	Records documenting the development and delivery of training on equality and diversity issues and procedures	Current year + 5 years	Destroy	JISC recommendation	Diversity and Inclusion
<b>HR 19</b>	<b>Discrimination Complaints Handling</b>				
<b>HR 19.1</b>	Records documenting the handling of formal complaints about discrimination by or within the institution	Last action on case + 6 years	Destroy	Limitation (NI) Order 1989	Diversity and Inclusion
<b>HR 20</b>	<b>Disability Action Plan Compliance</b>				
<b>HR 20.1</b>	Records documenting the preparation / revision of the institution's Disability Action Plan	Superseded + 5 years	Review	JISC recommendation	Diversity and Inclusion
<b>HR 20.2</b>	Records documenting the preparation of annual reports on the implementation of the institution's Disability Action Plan	Current year + 5 years	Destroy	JISC recommendation	Diversity and Inclusion
<b>HR 20.3</b>	Records documenting assessments of the impact of the institution's policies and practices on equality for disabled persons	Superseded + 5 years	Review / Destroy	JISC recommendation	Diversity and Inclusion
<b>HR 21</b>	<b>Equality Scheme / Screening</b>				
<b>HR 21.1</b>	Records relating to institutional policies which have been screened	Superseded + 5 years	Review	JISC recommendation	Diversity and Inclusion
<b>HR 21.2</b>	Records documenting assessments of the impact of the institution's policies on equality between different groups	Superseded + 5 years	Review	JISC recommendation	Diversity and Inclusion
<b>HR 21.3</b>	Records documenting the monitoring, by protected characteristic, of employee recruitment.	Termination of employment + 6 years	Review / Destroy	JISC recommendation	Diversity and Inclusion
<b>HR 22</b>	<b>Gender Equality Compliance</b>				
<b>HR 22.1</b>	Records documenting the preparation / revision of the institution's Gender Equality Scheme	Superseded + 5 years	Review	JISC recommendation	Queen's Gender Initiative

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HR 22.2	Records documenting the preparation of annual reports on the implementation of the institution's Gender Equality Scheme	Current year + 5 years	Destroy	JISC recommendation	Queen's Gender Initiative
HR 22.3	Records documenting assessments of the impact of the institution's policies and practices on equality for men and women	Superseded + 5 years	Review	JISC recommendation	Queen's Gender Initiative
	<b>Legal Affairs Management</b>				
HR 23	<b>Legal Affairs Management Policy Development</b>				
HR 23.1	Records documenting the development and establishment of the institution's policies on the management of legal affairs: key records	Superseded + 5 years	Review	JISC recommendation	Legal Services
HR 23.2	Records documenting the development and establishment of the institution's policies on the management of legal affairs: working papers	Issue of policy + 1 year	Destroy	JISC recommendation	Legal Services
HR 24	<b>Legal Affairs Management Procedure Development</b>				
HR 24.1	Master copies of procedures relating to the management of legal affairs	Superseded + 5 years	Review	JISC recommendation	Legal Services
HR 24.2	Records documenting the development of the institution's procedures relating to the management of legal affairs	Issue of procedures + 1 year	Destroy	JISC recommendation	Legal Services
HR 25	<b>Contracts &amp; Agreements Management</b>				
HR 25.1	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties: agreements and contracts under seal (by deed)	Termination of contract + 12 years	Destroy	Limitation (NI) Order 1989	Legal Services
HR 25.2	Records documenting the negotiation, establishment and review of contracts and agreements between the institution and third parties: other contracts and agreements	Termination of contract + 6 years	Destroy	Limitation (NI) Order 1989	Legal Services
HR 26	<b>Legal Claims Management</b>				
HR 26.1	Records documenting the provision of legal support and representation for the institution in dealing with claims by or against the institution which do not proceed to litigation or settlement by an agreement	Settlement of claim + 6 years OR Withdrawal of claim + 6 years	Destroy	Limitation (NI) Order 1989	Legal Services
HR 27	<b>Litigation Management</b>				
HR 27.1	Records documenting litigation between the institution and third parties where legal precedents are set	Permanent	Archive	JISC recommendation	Legal Services
HR 27.2	Records documenting litigation between the institution and third parties which does not set legal precedents	Settlement of case + 6 years	Destroy	Limitation (NI) Order 1989	Legal Services
HR 28	<b>Legal Advice Provision</b>				
HR 28.1	Records documenting legal advice requested by, and provided to, the institution concerning e.g.: - interpretation of legislation affecting the institution's legal framework, governance, responsibilities or operations - proposals for new legislation affecting the institution's legal framework, governance, responsibilities or operations - the institution's relationships with government bodies and HE regulators - industrial relations issues - health, safety and environmental issues	Permanent	Archive	JISC recommendation	Legal Services
HR 28.2	Records documenting legal advice on other matters requested by, and provided to, the institution.	Superseded + 5 years	Review	JISC recommendation	Legal Services