



06 HR RECORDS

University Retention Schedule

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6.1. Recruitment

6.1.1. Administration and Advertisement

Departmental retention periods shown in **red** apply only where recruitment is handled by individual departments (e.g. casual staff) – historic records only as of August 2023

NB: If the successful applicant is subject to **UKVI regulations**, the retention period for records in this section are overridden by **Section 6.3.1 – Points Based Immigration System**.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DEPARTMENTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Requests from departments for vacancies to be filled	E	Completion of appointment	6 months		Delete	In case of claims	Examples: Advertising request forms	HR system / DLX	N/A	Not published	
Authorisations to recruit (including emails)	P/E	Until superseded	6 months		Destroy	In case of claims	Depts may opt to keep a copy of this paperwork until the post is filled	HR system / DLX	N/A	Not published	
Unsolicited applications and replies	P/E	Date of reply	N/A	N/A	Destroy			N/A	N/A	Not published	
Reports or analysis of recruitment effectiveness	P/E	End of academic year	5 years		Destroy			K:drive	N/A	Not published	
Advertisements and related documentation	P/E	Completion of appointment	6 months	6 months	Destroy	In case of claims	Examples: copies of advertisements in newspapers or journals; screen shots of websites; copies of contracts with recruitments agencies; correspondence (including email)	HR system / DLX	N/A	As per advertising request form	
Enquiries concerning recruitment	P/E	Completion of appointment	6 months	6 months	Destroy	Equality Act 2010; Employment Equality Regulations: SI 2003/1660, SI 2003/1661, SI 2006/1031		HR system	N/A	Not published	

All records relating to the grading/remuneration of an advertised role should be managed in accordance with **Section 6.5.1 – Pay and Grading**.

6.1.2. Applications and Selection

Departmental retention periods shown in **red** apply only where recruitment is handled by individual departments (e.g. casual staff) – historic records only as of August 2023

NB: If the successful applicant is subject to **UKVI regulations**, the retention periods in this section (for all shortlisted applicants for the vacancy) are overridden by **Section 6.3.1 – Points Based Immigration System**.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DEPARTMENTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Applications - successful candidates	E	Termination of employment	6 years	6 years	Delete	Limitation Act 1980 JISC recommendation	Examples: completed application forms; CVs; references; accompanying letters/emails	HR system / DLX	eRecruitment System, then after 1yr printed out and kept on staff file	Not published	
Applications - unsuccessful candidates	E	Completion of appointment	1 year	1 year	Delete	Equality Act 2010; Employment Equality Regulations: SI 2003/1660, SI 2003/1661, SI 2006/1031; UK Border Agency Sponsor Policy Guidance JISC recommendation	Successful candidate applications form part of the staff file	HR system / DLX	eRecruitment System	Not published	
Selection of staff and interview records	E	Completion of appointment	1 year	1 year	Delete	Equality Act 2010; Employment Equality Regulations: SI 2003/1660, SI 2003/1661, SI 2006/1031; UK Border Agency Sponsor Policy Guidance JISC recommendation	Examples: names and number of shortlisted applicants; invitations to interviews; requests for references; test results; score sheets; interview notes	HR system / DLX	eRecruitment System	Not published	
Equal opportunities monitoring forms	E	Completion of analysis	N/A		Delete			HR system / DLX	eRecruitment System	Not published	
Records relating to appointment to senior posts	P/E	Termination of appointment	6 years		Destroy	JISC recommendation	Forms part of the staff file	Held by Chief People Officer	N/A	Not published	

6.1.2.1. PTHP Bank

Please note: PTHPs are being phased out and will be replaced with a different process (for existing staff) managed through the HR system.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DEPARTMENTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Applications – Successful to bank	E	18 months after being added to bank, if not offered work	18 months		Delete		Examples: completed application forms; CVs; references; accompanying letters/emails	eRecruitment system	N/A	Not published	
Applications – Successful to work	E	Termination of employment	6 years	6 years	Delete		Examples: completed application forms; CVs; references; accompanying letters/emails	K:drive	N/A	Not published	
Applications - unsuccessful	E	Interview date	1 year	6 months	Delete	In case of claims	Examples: completed application forms; CVs; references; accompanying letters/emails	eRecruitment system	N/A	Not published	

6.1.3. Points Based Immigration System

Workers, Temporary Workers and Students: guidance for sponsors, Appendix D: keeping documents October 2021, states:

Unless otherwise stated in this guidance, all documents relating to a worker or Student whom you sponsor must be kept throughout the period that you sponsor them and until whichever is the earlier of:

- one year has passed from the date on which you end your sponsorship of the worker or Student; or
- the date on which a compliance officer has examined and approved them, if this is less than one year after you ended your sponsorship of the worker or student

In addition to the documents set out in this Appendix, you must also keep the documents you provided as part of your application to become a licensed sponsor. You must keep this information for as long as you hold a sponsor licence. You may need to retain some documents specified in this appendix for other purposes (for example, to comply with legislation on preventing illegal working) and for longer periods of time. You must ensure that you meet any other legal requirements for record keeping, such as ones set either by us or another government department.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Pre-31/12/21 - Documents required for compliance with the University’s Tier 2, 4 & 5 sponsor duties (Skilled & temporary workers)	P/E	Termination of employment	6 years	Destroy	Workers, Temporary Workers and Students: guidance for sponsors Appendix D: keeping documents (version 10/21) JISC recommendation	UoP retains UKVI records in line with the retention period for the individual’s staff file and therefore is compliant with the above requirement. Pre-2009 staff files may contain some UKVI records in line with previous HR practices.	Paper, on staff file	n/a	Not published	
01/01/22 on - Documents required for compliance with the University’s Tier 2, 4 & 5 sponsor duties (Skilled & temporary workers)	P/E	End of sponsorship*	1 years	Destroy	Workers, Temporary Workers and Students: guidance for sponsors Appendix D: keeping documents (version 10/21)	* For most staff this will be the termination of employment, but some staff may end their sponsorship sooner if they obtain indefinite leave to remain, or move to another category (e.g. Global Talent)	HR system / DLX	n/a	Not published	

6.1.4. Disclosure and Barring Records

Formerly Criminal Records Bureau records. Under Disclosure and Barring the University no longer receives disclosure forms. Criminal Conviction records must be managed in accordance with the DBS Code of Practice. Retention schedules for this can now be found in [Retention Schedule – 08 Risk Management > Disclosure and Barring](#).

6.1.5. Pre-employment Screening

As of April 2023, the Occupational Health Service has been outsourced to Cordell Health Ltd. They will hold and manage future records. Current records (for staff who have not opted out of the transfer) are in the process of being transferred to Cordell Health. Records for staff who have left UoP, or who opted out of the transfer process will be retained by UoP until the retention period expires.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	OCC HEALTH RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Pre-employment screening forms: employees exposed to hazardous substances, lead or noise during employment	E	Termination of employment	40 years	Delete	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		n/a	Collected via eRecruitment system, then stored in eRecords as part of the individual's Occ Health file	Not published	
Pre-employment screening forms: employees exposed to radiation	E	Termination of employment	50 years	Delete	Ionising Radiations Regulations: SI 1999/3232		n/a	Collected via eRecruitment system, then stored in eRecords as part of the individual's Occ Health file	Not published	
Pre-employment screening forms: other employees	E	Termination of employment	6 years	Delete	Limitation Act 1980 JISC recommendation		n/a	Collected via eRecruitment system, then stored in eRecords as part of the individual's Occ Health file	Not published	

6.2. Staff Records and Staff Files

6.2.1. Staff Enquiries

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DEPARTMENTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Routine enquiries from employees	email	Response to enquiry	6 months	6 months	Delete		Examples: confirmation of grade, salary, leave allowance etc	Email	N/A	Not published	
Enquiries that result in a contractual change	P/E	Termination of employment	6 years		Destroy		Forms part of staff file	HR system / DLX	N/A	Not published	

6.2.2. Staff Files

Departmental retention periods shown in **red** apply only where recruitment is handled by individual departments (e.g. part-time hourly, or casual staff).

NB: For records relating to the termination of employment see new [Section 6.2.7 – Termination of Employment](#).

NB: Where a “HR Leaver’s Report” is not yet available, some of this information may need to be retained for longer to ensure that we can evidence everything required by the employee summary (see [6.2.3](#) below).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DEPARTMENTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Departmental staff files	P/E	Termination of employment*		6 years	Destroy	Limitation Act 1980	*If staff member moves to another department within the University, transfer to new department (after appropriate weeding)	N/A	N/A	Not published	
Contracts of employment and related documentation (Central staff file)	P/E	Termination of employment	6 years		Destroy	Limitation Act 1980 JISC recommendation	Examples: appointment and acceptance letters; terms and conditions; changes to terms and conditions; copies of qualifications; copies of documentation showing entitlement to work in UK	HR system / DLX	N/A	Not published	
Most recent job description and person specification for individuals for each role	P/E	Termination of employment	6 years	6 years	Destroy	Limitation Act 1980 JISC recommendation		HR system / DLX	N/A	Not published	
Current contact details	E	Termination of employment	6 years		Delete	Limitation Act 1980	Forms part of the staff record	HR system / DLX	N/A	Not published	

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DEPARTMENTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
References supplied for members of staff	P/E	Provision of reference		1 year	Destroy	Limitation Act 1980	Includes internal and external references. (Includes bank references etc provided by Payroll) May be retained longer if line managers consider the need to refer to them when providing further reference in the future, but extended retention must be annually reviewed	HR system / DLX	N/A	Not published	
Signed undertakings for removal expenses	P/E	Termination of employment	6 years		Destroy	In case of dispute	Contracts generally last 2 years	HR system / DLX	N/A	Not published	

6.2.3. Staff Records

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Individual staff records	E	Termination of employment	6 years	Extract employment history and any data requiring longer retention*, then delete the rest of the entry	Limitation Act 1980	* Records pertaining to asbestos, lead, ionising radiation, noise or hazardous substances may require longer retention, see Retention Schedule – 08 Risk Management > Health & Safety	HR system / DLX	N/A	Not published	
Employment history - summary data of individual employees	P/E	Date of birth	100 years	Destroy	To verify employment details of former staff	Examples: full name; date of birth; national insurance number; staff/payroll number; position(s) held; dates of employment; reasons for leaving; and pension data (including any opt in/opt out forms for pensions & individual pension enquiries) NB: This should be on the new HR leavers report, but where this report is not run, additional documentation from 6.2.2 above may need to be kept to ensure that the employee summary data is evidenced.	HR system / DLX	Paper, off-site storage facility	Not published	

6.2.4. Leave Records

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records relating to administration of individual employees' contractual holiday entitlement	P/E	Termination of employment	6 years	Destroy			HR System	N/A	Not published	
Records relating to the authorisation of special leave of individual employees	P/E	Termination of employment	6 years	Destroy		Includes compassionate leave and sabbaticals	HR system / DLX	N/A	Not published	
Records relating to the authorisation and administration of family leave	P/E	Return of individual from leave*	6 years	Destroy	Maternity and Parental Leave Regulations 1999	Maternity and parental leave, including adoption leave * If the individual opts not to return, then retention period begins on the date they leave the University's employ	HR system / DLX	Paper, on staff file	Not published	

6.2.5. Sickness Absence

See also **Occupational Health Records, Retention Schedule – 08 Risk Management.**

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Absence due to sickness related to radiation	E	Termination of employment	50 years	Delete	Ionising Radiations Regulations: SI 1999/3232	Includes dates and causes	HR System	Paper, on staff file	Not published	
Absence due to sickness related to asbestos, hazardous substances, lead or major injuries	E	Termination of employment	40 years	Delete	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	Includes dates and causes	HR System	Paper, on staff file	Not published	
All other absence due to sickness	E	Termination of employment	6 years	Delete	Limitation Act 1980	Includes dates, causes and self-certification notes	HR System	Paper, on staff file	Not published	
Records required for the purposes of Statutory Sick Pay (General) Regulations 1982	E	Termination of employment	6 years	Delete	Statutory Sick Pay (General) Regulations 1982 JISC recommendation	Forms part of the staff record	HR System	Paper, on staff file	Not published	

6.2.6. General Staff Health Records

See also Occupational Health Records, **Retention Schedule – 08 Risk Management** - Entire Occ Health file would be retained in line with longest retention period required

As of April 2023, the Occupational Health Service has been outsourced to Cordell Health Ltd. They will hold and manage future records. Current records (for staff who have not opted out of the transfer) are in the process of being transferred to Cordell Health. Records for staff who have left UoP, or who opted out of the transfer process will be retained by UoP until the retention period expires.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	OCC HEALTH RETENTION PERIOD	DEPARTMENTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of hours worked by employees who have agreed to work more than 48 hours a week	P/E	Date of creation	3 years		Destroy	Working Time Regulations 1998 Limitation Act 1980	Including written agreements	N/A	TBD	Not published	
Health assessments of night workers and related documentation	P/E	Date of creation	3 years		Destroy	Working Time Regulations 1998 Limitation Act 1980	Examples: names of night workers; dates when assessments were offered; outcomes of assessments	N/A	TBD	Not published	
Records relating to the issue of personal protective equipment or other special equipment to individual staff	P/E	Termination of employment		6 years	Destroy	Limitation Act 1980 JISC recommendation		On departmental staff file	N/A	Not published	
Records documenting major injuries to an employee arising from accidents in the workplace	P/E	Termination of employment	40 years		Destroy	JISC recommendation		N/A	TBD	Not published	
Staff health records	P/E	Termination of employment	6 years		Destroy	Limitation Act 1980	Examples: reports, management referral forms, investigations into work-related stress absence	N/A	TBD	Not published	
Return to work interview records	P/E	Termination of employment		6 years	Destroy	Limitation Act 1980		On departmental staff file	N/A	Not published	

6.2.7. Termination of Employment

See also [Section 6.2.3 – Employment History](#), for details of records (including pension data) that need to be retained long term for all staff.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	OCC HEALTH RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records documenting the termination of an employee's employment	P/E	Termination of employment	6 years		Destroy	Limitation Act 1980 JISC recommendation	Includes voluntary resignation, redundancy, retirement and dismissal	HR system / DLX	Staff file, HR System & HR casework	Not published	
Records relating to ill-health retirements	P/E	Last action on case	6 years	6 years	Destroy	Limitation Act 1980	From April 2023, Cordell Health Ltd may hold some records relevant to these cases	HR system / DLX (Pension file)	Staff file, Occ Health file & scanned copy on K:drive (Pension file)	Not published	
Records relating to death in service	P/E	Last action on case	6 years	6 years	Destroy	Limitation Act 1980	Not to be confused with pension data	HR system / DLX & scanned copy on K:drive (Pension file) Email (for correspondence with N.o.K. or beneficiary)	Staff file, Payroll file & scanned copy on K:drive (Pension file)	Not published	
Records relating to organisational change leading to redeployment and/or redundancy	P/E	Last action on case	6 years		Destroy	Limitation Act 1980	Treat as casework	HR casework and one person – VC files Restructure – UEB minutes, HR system / DLX	N/A	Trade Union reps get an anonymised copy	

6.3. Induction, Probation and Personal Development

Please note: for induction day events, see [Retention Schedule – 12 Training](#).

6.3.1. Personal Induction

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DEPARTMENTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Induction records for individual employees where probation is successful	P/E	Completion of probation		N/A	Destroy			On departmental staff file	On departmental staff file	Not published	
Induction records for individual employees where probation is unsuccessful	P/E	Dismissal		6 years	Destroy	In case of claims	See also 6.2.7 – Termination of Employment	On departmental staff file	On departmental staff file	Not published	
Personal induction plans: templates and guidance notes	P/E	When superseded	1 year		Destroy		Individual induction plans for senior managers are not published	Google Drive	K:drive	POD Google Site	

6.3.2. Probation Records

Process digitised onto the HR System in Nov 2021 – a probation form is completed by the line manager and acknowledged by the member of staff. All issues relating to probation are managed via the Case Management module.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DEPARTMENTS RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Individual probation records	E	Completion or failure of probation		6 months	Destroy	In case of claims	See also 6.2.7 – Termination of Employment	HR system / DLX	On departmental staff file	Not published	
Reports from line managers where appointment is confirmed	E	Termination of employment	6 years		Destroy		Forms part of staff file	HR system / DLX	Paper, on staff file or K:drive	Not published	
Reports from line managers where probation is extended and then successful	E	Termination of employment	6 years		Destroy	Limitation Act 1980	Includes any supporting documentation submitted with the report	HR system / DLX	Paper, on staff file or K:drive	Not published	
Reports from line managers where probation is extended and then unsuccessful	E	Dismissal	6 months		Destroy	In case of claims		HR system / DLX	Paper, on staff file or K:drive	Not published	

6.3.3. Appraisals

Please note: For academic peer reviews, see [Retention Schedule – 02 Audit > Programme Quality, Monitoring and Review](#).

New online PDR system introduced May 2019. There should be no PDRs retained by departments after May 2022.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Individual appraisal records (online PDR)	E	End of academic year	6 years	Delete			Online PDR system	N/A	Not published, but made available to named individuals via online PDR system	
Records relating to the development of the appraisal scheme	P/E	When superseded	5 years	Destroy	JISC recommendation		eRecords, K:drive & Google Drive	N/A	Not published	
Appraisal forms (templates)	P/E	When superseded	5 years	Destroy			Online PDR system Google Drive & K drive	K:drive	Intranet	
Appraisal guidance notes	P/E	When superseded	5 years	Destroy			Google Drive	N/A	Intranet	

6.3.4. Individual Training Needs Assessments and Records of Training Received

Please note: For training materials and events see [Retention Schedule 12 – Training](#).

Most training needs are recorded and retained on the PDR (see [6.3.3 – Appraisals](#))

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	DEPARTMENTS RETENTION PERIOD	HR RETENTION SCHEDULE	IT TRAINING RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records of training received (recorded on HR system)	P/E	Termination of employment		6 years		Destroy	Limitation Act 1980 JISC recommendation	Includes first aid training	HR System	Paper, on staff file	Not published	
Records of training received (not recorded on the HR system)	P/E	When superseded or expiry of certificate	6 years			Destroy	Limitation Act 1980 JISC recommendation		Dept staff file	N/A	Not published	
Training undertaken on 3 rd party systems†, outside control of HR	E	Completion of training	6 years			Delete	Limitation Act 1980 JISC recommendation	† LinkedIn Learning – via personal profile and L&D Toolkit (Good Practice software) via SSO	3 rd Party systems		Not published	
Records of IT training needs assessments for individuals	E	Termination of employment			6 years	Delete	Limitation Act 1980 JISC recommendation	Master forms are on the eRecords System	Google form & K:drive	N/A	Not published	
Training needed/received relating to ionising radiation	P/E	Termination of employment	50 years			Destroy	Limitation Act 1980		HR System	Paper, on staff file	Not published	
Training needed/received relating to asbestos, hazardous substances, lead or noise	P/E	Termination of employment		40 years		Destroy	Limitation Act 1980		HR System	Paper, on staff file	Not published	
Erasmus placements summary (historical)	E	Termination of employment		6 years		Destroy	Limitation Act 1980	Global hold the contract details, Finance hold the funding details	HR System	Global filing system	Not published	
Turing placements summary	E	Termination of employment		6 years*		Destroy	Limitation Act 1980 Turing contract requirement	*or 7 years from the date on which the funding period ends, whichever is the greater Global hold the contract details, Finance hold the funding details	HR System	Global filing system	Not published	

6.3.5. Development Support Records

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Mentoring records	E	Termination of mentor relationship	6 years	Delete		Matching of mentors and mentees	Google Drive	Data exported from previous system now held on L&D K:drive	Not published	

6.4. Grievance and Discipline

This section refers equally to both formal and informal cases. At the end of the case, HR will gather in all relevant paperwork from those involved in handling the matter so that the University has one complete record. HR maintains a record of all cases on the HR system. From April 2023, the Occupational Health Service has been outsourced to Cordell Health Ltd. Any medical records relating to cases will be held by Cordell (only staff who opted out of the data transfer, or left UoP prior to April 2023 will have their medical files held locally by UoP).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Written warnings/sanctions	P/E	Termination of employment or last action on case*	12 months	Destroy	HR Policies, and agreement with Unions		HR system / DLX	Staff file	Not Published	
Grievance case files	P/E	Termination of employment or last action on case*	6 years	Destroy	Limitation Act 1980 JISC recommendation	* whichever is the later NB: where case involves more than one employee, "termination of employment" relates to the last person involved.	HR system / DLX	N/A	Not published	
Disciplinary case files	P/E	Termination of employment or last action on case*	6 years	Destroy	Limitation Act 1980 JISC recommendation	* whichever is the later NB: where case involves more than one employee, "termination of employment" relates to the last person involved.	HR system / DLX	N/A	Not published	
Management of under-performance case files	P/E	Termination of employment or last action on case*	6 years	Destroy	Limitation Act 1980	* whichever is the later NB: where case involves more than one employee, "termination of employment" relates to the last person involved.	HR system / DLX	N/A	Not published	
Sickness absence case files	P/E	Termination of employment or last action on case*	6 years	Destroy	Limitation Act 1980	* whichever is the later NB: where case involves more than one employee, "termination of employment" relates to the last person involved.	HR system / DLX	N/A	Not published	

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RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Files relating to concerns about a member of staff's suitability for working with children	P/E	Last action on case	10 years or until normal retirement age*	Destroy	Recommended by NSPCC guidance on child protection records DfES – Safeguarding Children and Safer Recruitment in Education (Section 5.10)	* whichever is the later From April 2023, Cordell Health Ltd may hold some records relating to these cases	HR system / DLX	N/A	Not published	
Settlement agreements	P/E	Date of birth	100 years	Destroy	Limitation Act 1980	NB: where case involves more than one employee, "date of birth" relates to the youngest person involved. From April 2023, Cordell Health Ltd may hold some records relating to these cases	HR system / DLX	N/A	Not published	
References regulated by settlement agreements	P/E	Date of birth	100 years	Destroy			HR system / DLX			
Anonymised outcome reports	E	N/A	Permanent	N/A	For reference in other case work For precedence setting		eRecords	N/A	Not published	

6.4.1. Appeals

From 15th November 2021, Corporate Governance is no longer involved in new appeals processes, but may have records from ongoing or historic appeals.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	CORPORATE GOVERNANCE RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Appeal hearing reports	P/E	N/A	Permanent	Permanent	Archive		NB: since June 2018, only a summary has gone to HR committee for GDPR reasons.	TBD	Prior to June 2018, formed part of papers for HR committee	Not published	
Appeal files: upheld	P/E	Termination of employment or last action on case*	6 years	N/A	Destroy	Limitation Act 1980	* whichever is the later An outcome report will be retained permanently with the agenda files for the Human Resources committee	HR system / DLX	Corporate Governance FileStore	Not published	
Appeal files: not upheld	P/E	Termination of employment or last action on case*	6 years	N/A	Destroy	Limitation Act 1980	* whichever is the later An outcome report will be retained permanently with the agenda files for the Human Resources committee	HR system / DLX	Corporate Governance FileStore	Not published	
Appeal files: not pursued	P/E	Notification received that appeal will not be pursued or last action on case	6 months	6 months	Destroy	In case of appellant changing their mind		HR system / DLX	n/a	Not published	

6.5. Remuneration and Reward

NB: For payroll records, see [Retention Schedule – 05 Financial Records > Payroll Administration](#).

6.5.1. Pay and Grading

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Documents concerning development of the University's pay structure	P/E	End of academic year	10 years	Destroy	JISC recommendation		K:drive	N/A	Not published	
HERA role analysis: interview records and desktop analysis	P/E	When superseded	10 years	Destroy			K:drive	N/A	Not published	
Job descriptions and person specifications for roles	P/E	When superseded	6 years	Destroy	Limitation Act 1980	For individuals, see Staff Files above	eRecords System	Local K:drives	Not published	
Grading reviews	P/E	Termination of Employment	6 years	Destroy	Limitation Act 1980 JISC recommendation	Examples: requests for reviews; minutes of meetings; reports of scoring panels; evidence	HR system / DLX	Paper, on staff file	Not published	
Current salary calculations – non-UKVI	P/E	When superseded	N/A	Destroy	Usually only current for one year, due to negotiated pay rises and annual spine point increments	Examples: Salary calculations for the recruitment of term time only posts	K:drive	N/A	Not published	
Every salary calculation – UKVI only	P/E	Termination of Employment	1 year	Destroy	Tier 2, Tier 4, Tier 5 of the Points Based System – Guidance for Sponsors Appendix D – Keeping Documents (version 10/19)		HR system / DLX	Paper, on staff file	Not published	

6.5.2. Awards

Please note: for records of rewards and remunerations granted to individuals forms part of the staff file.

6.5.2.1. Contribution Awards & Merit Increase Awards (historic)

These have not been awarded for more than 10 years, so the entry was removed in Version 8.0 of the University Retention Schedule.

6.5.2.2. Recognition Awards

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Successful applicants	P/E	Termination of Employment	6 years	Destroy	Limitation Act 1980	Includes completed application forms and letters issued to staff	HR system / DLX	Paper, on staff file	Not published	

6.5.2.3. Long Service Awards

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Successful applicants	P/E	Termination of Employment	6 years	Destroy	Limitation Act 1980	Includes completed application forms and letters issued to staff	HR system / DLX	Paper, on staff file	Not published	

6.5.3. Furlough Scheme

NB: Individual payments to staff are covered by Payroll Records, see [Retention Schedule – 05 Financial Records > Payroll Administration](#).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Records relating to the set up and administration of the furlough scheme	E	End of tax year	6 years	Delete	HMRC Requirement	Includes: <ul style="list-style-type: none"> the furlough designation letter the amount claimed and claim period for each employee the claim reference number for their records their calculations in case HMRC need more information about their claim usual hours worked and the number of hours they are furloughed (i.e. not working), including any calculations that were required, for employees they flexibly furloughed actual hours worked for employees they flexibly furloughed any claim adjustment/ correction notified to HMRC in the event of error 	HMRC calculations and submitted claims (employee breakdown) K:Drive			

6.6. Pensions

For individual employees’ pension data, see Staff Records (above).

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	PAYROLL RETENTION PERIOD	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Documents concerning the University’s relationship with pension schemes to which all or part of the workforce belongs	E	Termination of relationship	6 years	6 years	Delete		LGPS and NHS pension schemes: Payroll completes the LGPS and NHS annual returns, HR and Payroll complete the leaver documentation and HR completes the pension administration. HR complete the monthly data collection for Teachers’ Pensions, leaver documentation and all pension administration. HR completes all pension administration for the NEST scheme.	K:drive (Pension file)	N/A	Not published	
Routine communications with pension schemes	P/E	End of academic year	6 years	6 years	Destroy		LGPS and NHS pension schemes: Payroll completes the LGPS and NHS annual returns, HR and Payroll complete the leaver documentation and HR completes the pension administration. HR complete the monthly data collection for Teachers’ Pensions, leaver documentation and all pension administration. HR completes all pension administration for the NEST scheme.	Pension office filing, K:drive & Email	N/A	Not published	
Opt-outs from the pension scheme	P/E	Date of Birth		100 years	Destroy			HR system / DLX			

6.7. Industrial Relations

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Recognition agreements, de-recognition agreements and collective agreements	P/E	N/A	Permanent	Archive		These form part of the papers for the Board of Governors	eRecords	Archive	Not published	
Minutes of meetings with trade unions	P/E	End of academic year	20 years	Consider archiving	JISC recommendation		K:drive	N/A	Not published	
Documents relating to consultation / negotiation with trade unions on specific issues	P/E	Last action	20 years	Consider archiving	JISC recommendation	Examples: pay and conditions	K:drive & Email (Letters held on casework)	N/A	Not published	

6.8. Affiliates

6.8.1. Emeritus, Honorary, Sponsored

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Affiliate files	E			Delete			HR system	N/A	Not published	

6.8.2. Visitors

Visitors are not staff and do not get paid. However, they may be sponsored under UKVI, in which case refer to **6.1.3 – Points Based Immigration Scheme**, above.

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HOST DEPT RETENTION PERIOD	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Log of visit	E	End of academic year in which the visit ends		N/A	Delete	In case of enquiry or repeat visits	Includes arrival and departure dates, plus passport/ID/right to work checks				
Local visitor files	E	End of academic year in which the visit ends	N/A		Delete	In case of enquiry or repeat visits	General administration of the visit				

6.8.3. Secondee

RECORD CATEGORY	FORMAT	RETENTION PERIOD BEGINS	HR RETENTION PERIOD	DISPOSAL ACTION	RATIONALE	NOTES	MASTER SHOULD BE STORED IN	HISTORICAL INFO	PUBLICATION INFO	RAG STATUS
Secondee agreements and CVs	E			Delete			HR System	N/A	Not published	