



Records & Information Management Service (RIMS)

Records Retention Schedule

Human Resources

Section / Function	Records Series	Retain at office	Location of master copy	Total retention	Fate	Notes
Employee Management	Contract File including but not limited to: <ul style="list-style-type: none"> • Payroll Information Form • Contract Offer Cover Letter • Written particulars of Terms and Conditions (originals with both signatures) • Post Management Form • Copies of identification (verified) • Job advert and job description • References • Application form • Copy of pension application form (original to Payroll) • Relocation expenses paid • Job evaluations (specific to individual's role) • Allowances • Merit awards 	T+6 for all staff apart from research only and research and teaching	HR system (PXD)	T+6 T+8 (R and RT)	D(con)	<p>A basic record including start and end dates of appointments will be retained to ensure a history of a person and appointment. Eg start date, end date, College, School, job</p> <p>Where there is an ongoing Employment Tribunal or similar matter the relevant personal file MUST NOT be destroyed.</p> <p>This section includes all form of staff and casual workers although less information is stored for casual workers.</p> <p>This also includes any documentation/forms for honorary/affiliate/visiting status</p> <p>The research only and research and teaching staff information will be held for 8 years as it will be required for the Research Excellence Framework (REF)</p>

Page 1 of 12

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	<ul style="list-style-type: none"> • Salary • Work address • Start and end dates • Termination of employment • Re-grading, promotion, changes in terms and conditions • Recognition & Reward • Working overseas • Fitness to Practice Forms (Clinical only) • Any other relevant correspondence • Redundancy consultation • Criminal convictions form (no longer require applicant to complete this form as of July 2010 – is now part of application form) • Working permissions and relevant paperwork (as appropriate) • Electronic timesheets (where appropriate) 					
	Personal detail including but not limited to: <ul style="list-style-type: none"> • Name • Address/Post code • Phone number • Title • Date of birth • Sex 	T+6 for all staff apart from research only and research and teaching	HR system (PXD)	T+6 T+8 (R and RT)	D(con)	A basic record including start and end dates of appointments will be retained to ensure a history of a person and appointment. Eg start date, end date, College, School, job The research only and research and teaching staff information will be held for 8

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	<ul style="list-style-type: none"> Nationality National insurance number Bank account details Child care vouchers 					years as it will be required for the Research Excellence Framework (REF)
	Marital status	T+75	HR system (PXD)	T+75	D	Required for pension purposes
	Next of kin/emergency contact	T+1	HR system (PXD)	T+1	D	
	Equality monitoring information	T+1	HR system (PXD)	T+1	D	
	Staff photographs	T+1	HR system (PXD)/Also on ID Card System	T+1	D	
Attendance management	Sickness absence recording	T+6	HR system (PXD)	T+6	D(con)	Information from fit note should be entered into computerised HR record. It should not be retained as a separate record, once recorded, if original, it should be given back to the member of staff and any copies destroyed confidentially.
	Return to work form (including Attendance Improvement plan)	T+6	HR system (PXD)	T+6	D(con)	Where review triggers are met or where there are any other causes for concern, this information will be recorded in the HR file.
	Maternity Leave – entitlements and calculations of Statutory Maternity Leave Maternity form MatB1	T+6	HR system (PXD)	T+6	D(con)	Any correspondence, medical records etc. relating to maternity leave
	Parental/Paternity leave	T+6	HR system (PXD)	T+6	D(con)	CIPD recommended best practice. Payroll will retain majority of information on this topic
	Adoption leave	T+6	HR system	T+6	D(con)	

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			(PXD)			
	Other leave e.g. emergency time off, unpaid	T+6	HR system (PXD)	T+6	D(con)	
	Annual leave requests including authorisation	T+1	HR system (PXD)	C+1	D	Stored in HR System (PXD) – to be reviewed
	Disclosure Scotland checks	From receipt + 1 month	POD Recruitment drive	From receipt + 1 month	D(con)	On line forms kept for 1 month then destroyed
Case management	Disciplinary against employee – dismissed cases (no action taken after investigation)	Last action on case + 6	Ivanti	Last action on case + 1	D(con)	
	Disciplinary against employee – upheld cases (action taken)	Last action on case + 6	Ivanti	Last action on case + 6	D(con)	
	Grievances – dismissed after investigation	Last action on case + 6	Ivanti	Last action on case + 6	D(con)	
	Grievances – upheld: institution's response, action taken and outcome	Last action on case + 6	Ivanti	Last action on case + 6	D(con)	
	All Case Management outcome letters	T+6	final letter retained on HR System (PXD)	T+6	D(con)	
	Performance management documents	Last action on case + 6	Ivanti	Last action on case + 6	D(con)	
	Flexible working requests	Last action on case + 6	Ivanti	Last action	D(con)	

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				on case + 6		
PDR	PDR forms (on line)	C+5	Internal system created for this purpose	C+5	D	Full form plus rating is stored in HR System (PXD)
Employee Relations	Agreements with Trade Unions (Memorandums of Understanding)	Until superseded+ 10	Executive Director	Until superseded+ 10	RA	
	Institutional recognition/de-recognition of Trade Unions	Termination of agreement+10	Executive Director	Termination of agreement+10	A	
	Formal communications with Trade Unions including minutes of meetings	C+10	Executive Director	C+10	D(con)	
	Consultations/negotiations with Trade Unions on specific issues	C+10	Executive Director	C+10	App	
	Staff survey information	C + 10	Organisational Development	C+10	App	Anonymised data
Occupational Health	Occupational health shall store occupational health records for as long as you are an active employee, student, or researcher for 6 years.	C	Occupational Health	C	D(con)	
	Health Surveillance assessments under 'Control of Substances Hazardous to Health' (COSHH) or any other Health and Safety Executive (HSE) Legislation for health surveillance – such as noise or hand-arm vibration syndrome the medical records specific to	40 years	Occupational Health	40 years	D(con)	

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	relevant legislation will be kept for a minimum of 40 years and in line with retention schedules set out within the HSE regulations. Occupational health records and any results that accompany these tests shall be kept for the same period.					
Recruitment & Selection	Recruitment Pack <ul style="list-style-type: none"> - job advertisements and surrounding documentation - enquiries about vacancies and requests for application forms - application forms and interview notes for unsuccessful candidates* - applicant tracking forms - appointment request authorisation 	Completion of recruitment process* + 6 months	HR System (PXD)	Completion of recruitment process* + 6 months	D	*Completion of recruitment process will be when a candidate has been appointed. *Successful candidate's application form and interview notes will be placed on personal file (see below)
	Equal opportunities data	Completion of recruitment process* + 6 months	HR System (PXD)	Completion of recruitment process* + 6 months	D	Data collected during application process
	Unsuccessful candidates' application forms held in E-recruitment system	Vacancy closed/date of last log-in + 6 months	HR System (PXD)	Vacancy closed/date of last log-in + 6	D(con)	Unsuccessful applicants' information will be kept 'live' in the e-recruitment system for 6 months once the vacancy is closed. After this time the individual is emailed to advise them that if they do not log in

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				months		information will be deleted. If they do log in then information will be kept for another 12 months and the process is repeated.
	Successful candidates' application forms held in e-recruitment system	Vacancy closed+3 years	HR System (PXD)	Vacancy closed+3 years	D(con)	Successful applicants' online applications are kept live for 3 years for use by the candidate. After this period staff will be emailed to advise that if they do not log in to keep account activated then it will be deleted. Relevant staff information will move to HR System (PXD) eg name, address etc
	Recruitment and selection papers for successful candidate	→	HR System (PXD)	→	→	Transfer to Personal File
	Interview expenses for candidates travelling to interview – copies only (originals to Finance Office)	Cfy+1	HR System (PXD)	Cfy+1	D(con)	
	Authorisation of recruitment	C+5	HR System (PXD)	C+5	D	Kept for audit purposes
	Unsolicited job applications	Nil	Are not retained	Nil	Return to sender	Unsolicited applications are returned to sender along with information on recruitment process
	Grading of individual jobs: correspondence, working papers, outcomes and job descriptions	P	HR System (PXD)	P	P	Job gradings are related to the post and/or job vacancy not kept separately under the specific job title. Used as reference source for future gradings.
	National pay reviews – UCEA (Universities and Colleges Employers Association)	C+10	Executive Director	C+10	App	Review to be completed by Head of Pay, Performance and Reward
	Remuneration structure and strategy	After superseded+6	Executive Director	After superseded+6	App	Review to be completed by Head of Pay, Performance and Reward
Severance	Administration of large-scale	Final action on	Executive	Final	D	

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Schemes	severance schemes: details of scheme, calculations, implementation, final reports	scheme+10	Director	action on scheme +10		
	Administration of large-scale severance schemes: working papers	Final action on scheme+2	Executive Director	Final action on scheme +2	D	
Job Evaluations	Job evaluations – working papers and results of large-scale exercises	C+10	POD PPR drive	C+10	D	
Management Information	HESA statistics	Cay+10	POD Systems drive	Cay+10	D	
Strategy	HR strategy: master copy	Nil	Executive Director	Nil	A	A master copy of any HR strategy should be immediately sent to the University Archives upon approval
Policies	HR policies: master copy	Until superseded+5	POD website	Until superseded+5	R	
Committees	HR Committee papers	Cay+1	Executive Director of POD	Cay+1	R	To be reviewed by HR Director's office
	Joint Committee of Consultation and negotiation (union) papers	Cay+1	Executive Director of POD	Cay+1	R	To be reviewed by HR Director's office
	Policy Review group	Cay+1	Executive Director of POD	Cay+1	R	To be reviewed by HR Director's office
Advisory Networks	Respect Advisors' Network (RAN) Informal harassment complaint case material - cases not progressed to a formal stage	RAN case closed if informal	POD EDU drive	RAN case closed if informal	D(con)	The EDU provide support to staff and students through the Respect Advisors' Network during the informal initial stages of harassment complaints. These records are held by the Respect Advisors until the RAN case is closed, which occurs if:

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						<ul style="list-style-type: none"> • Case is resolved informally; • The harassee drops the case; • The harassee progresses the case to a formal stage. <p>Material includes meeting notes (where kept) and other relevant paperwork. When informal complaint cases are not progressed to formal stage, all material is passed back to EDU by the Respect Advisors.</p>
	Respect Advisors' Network (RAN) Informal harassment complaint case material – Student cases progressed to a formal stage	→	POD EDU drive	→	RAN to pass to SRC Advice Centre	These records are held by the Respect Advisors. The involvement of the RAN ceases when a case is formalised, at this point the Respect Advisors should pass all of this material to the Students' Representative Council (SRC) Advice Centre. Material includes meeting notes and other relevant paperwork.
	Respect Advisors' Network (RAN) Informal harassment complaint case material – Staff cases progressed to a formal stage	Case progressed to formal stage + 1	POD EDU drive Ivanti until complete then final letter HR System (PXD)	Case progressed to formal stage + 1	D(con)	These records are held by the Respect Advisors. The involvement of the RAN ceases when a case is formalised, at this point the RAN case is closed and the Respect Advisors should pass all materials relating to the informal process back to EDU. The case material relating to the informal complaint is not passed to HR as this would be in breach of the agreement with the harassee. Formal staff casework notes are held by HR.

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	Respect Advisors' Network Monitoring Forms (hard copy)	Cay+1	POD EDU drive	Date entered onto database +1	D(con)	These records contain data in relation to RAN cases. They are completed by the alleged harassee (staff or student) in conjunction with the RAN advisor at the stage where the RAN has no further input (i.e. case has been resolved at informal stage or is being formalised by the staff/student).
Complaints	Cases against University/Staff/Students	Until case closed	Ivanti until complete then final letter HR System (PXD)	Until case closed	D(con)	EDU is occasionally asked to provide guidance to the University and/or to the member of staff/student involved. Finalised paperwork is held by HR (for staff) and Senate (for students). Paperwork for cases against the University are held either by Senate or, where conducted outwith Senate, paperwork is held by the relevant administering area.
	Equality and Diversity Strategy Committee (EDSC) - Minutes (finalised) - Committee papers	Cay+5	POD EDU drive	Cay+5	A*	Chaired by the Principal, reports to the Senate and Court. EDU clerk for this committee. *After the retention period at office elapses, send a hard copy of the minutes and other committee papers to Archives for permanent retention.
	Equality Groups Disability Equality Group Race Equality Group	Cay+5	POD EDU drive	Cay+5	A	EDU clerk for all these Groups. Each group meets 3 or 4 times per year and minutes produced for each meeting.

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	Sexual Orientation Equality Group Gender Equality Steering Group Religion and Belief Equality Group - Minutes (finalised) - Meeting papers					Meetings are chaired by the Equality Champion who delivers a verbal update to EDSC when it meets.
ED Policy/ Scheme Development	Policies (finalised)	Until superseded+5	POD EDU drive	Until superseded+5	A*	*After the retention period at office elapses, send a hard copy of the policy to Archives for permanent retention.
REF	Complex circumstances case work and evidence Minutes from Equality and Diversity meetings	Until REF results are published+2	POD EDU drive	Until REF results are published+2	D(con)	Will depend on arrangements for the collection of information for each REF
EOD courses	Leadership programme past participants spreadsheet.	N/A	POD OD drive	N/A	D	Data held in a spreadsheet on J:drive going back to 2013.
Modern Apprentices	Modern Apprentice Files (includes: information about qualifications/ registration/attendance/ attainment)	Last claim date + 2 years from end of contract schedule	POD OD drive	Last claim date + 3 years from end of contract schedule	D(con)	Some information is a duplicate of HR records but SQA and various lead bodies (eg CfA and CITB) qualification information and registration and attainment records are unique. SQA and lead bodies attainment records are scanned for inclusion in the MA personal file held in HR System (PXD) and other records destroyed. ESF evidence must be retained until December 2026 at the earliest.
ESF	European Social Funding documentation relating to 2019 onwards Work Programme	6	POD OD drive	Until 31 Dec 2026	D(con)	*On the advice of Scottish Government Portfolio and Compliance Manager

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