

## Human Resources Records Retention Schedule

Record Group Name	Records within Group	Retention Period	Citation	Action at end of retention period	Where information to be retained	Notes
<b>Recruitment</b>						
<b>Successful applicants</b>	<ul style="list-style-type: none"> <li>• CV/application form/academic profile</li> <li>• Successful applicant profile</li> <li>• Engagement Form</li> <li>• Proof of HESA number</li> <li>• Pre-employment checks</li> <li>• Interview notes and panel wash up form</li> <li>• Approved request to appoint</li> <li>• Offer details</li> <li>• Pre-employment form</li> <li>• Copy of qualifications</li> <li>• Relocation agreements</li> <li>• References</li> <li>• Job description /person specifications</li> <li>• ID</li> <li>• New starter checklist</li> <li>• Pre-employment health questionnaire</li> </ul>	<p>End of employment + 6 years</p> <p><b><u>Research Grants</u></b> If directly allocated or directly indicated staff costs retention period may need to be longer due to audit requirements</p>	Limitation Act 1980	<p>HR: Review <u>Not involved in a research grant:</u> Destroy <u>Involved in a research grant:</u> Determine retention period, dependent on funder.</p> <p>ERS: anonymise through e-Ploy</p>	<p>Whilst employed: HR /Department</p> <p>Following end of employment: HR-Personnel Files and Core HR only</p> <p>Department to pass to HR for retention once no longer employed.</p>	

Please note that documents should be submitted to HR for retention. Only documents concerning current staff need to be retained by the Department. Staff who have left their position should have their information retained by HR.

Record Group Name	Records within Group	Retention Period	Citation	Action at end of retention period	Where information to be retained	Notes
	<ul style="list-style-type: none"> <li>Health Management Report/Occupational Health Records (from OH provider)</li> </ul>					
	<ul style="list-style-type: none"> <li>Occupational Health clearance and subsequent records for employees exposed to hazards</li> </ul>	End of employment + 40 Years	See Health and Safety Retention Schedule	Destroy	Health and Safety Office	
<b>Successful applicants (visa holders)</b>	<ul style="list-style-type: none"> <li>Advert screenshots</li> <li>Certificate of sponsorship /pro-forma</li> <li>Visa</li> <li>Work permit</li> <li>Copy of Resident permit</li> <li>Copy of passport</li> <li>Letter from UKBA approving application for extension to stay</li> <li>Birth certificate</li> <li>Copy of national insurance care</li> </ul>	End of employment + 6 years  <b>Research Grants</b> If directly allocated or directly indicated staff costs retention period may need to be longer due to	Border and Immigration Agency <i>Prevention of Illegal Working</i>	HR: Review <u>Not involved in a research grant:</u> Destroy <u>Involved in a research grant:</u> Determine retention period,	HR-Personnel Files and Core HR.	

Please note that documents should be submitted to HR for retention. Only documents concerning current staff need to be retained by the Department. Staff who have left their position should have their information retained by HR.

Record Group Name	Records within Group	Retention Period	Citation	Action at end of retention period	Where information to be retained	Notes
		audit requirements		dependent on funder.  ERS: anonymise through e-Ploy		
<b>Unsuccessful applicants</b>	<ul style="list-style-type: none"> <li>CV/application form/academic profile /letter of application (information on HR Recruitment Portal (Stone Fish))</li> </ul>	12 months after closing date	1975 c. 65 1976 c. 74 1995 c. 50 SI 2006/1031 Regulations 7, 36 and 42 SI 2003/1660 Regulations 6, 28 and 34 SI 2003/1661 Regulations 6, 28 and 34	Not viewable by University staff	HR-Recruitment Portal	Lancaster University cannot view applicant data after 12 months. The data entered into the recruitment portal is available indefinitely providing the applicant has logged in at least once

Please note that documents should be submitted to HR for retention. Only documents concerning current staff need to be retained by the Department. Staff who have left their position should have their information retained by HR.

Record Group Name	Records within Group	Retention Period	Citation	Action at end of retention period	Where information to be retained	Notes
						over the last 12 months.
<b>Unsuccessful applicants</b>	<ul style="list-style-type: none"> <li>Unsuccessful applicant interview notes and panel wash up form</li> </ul>	3 months after interview		Delete	Recruiting Department	Email sent from HR to departments asking them to delete information
<b>Contract Management</b>						
<b>End of Fixed Term Contract/Redundancy/Resignation</b>	<ul style="list-style-type: none"> <li>Acceptance of Resignation letter</li> <li>Death in Service</li> <li>End of FTC confirmation letter</li> <li>Exit interview notes</li> <li>Notification of FTC not being extended</li> <li>End of FTC consultation</li> <li>Notification of resignation/redundancy</li> <li>Redundancy letters</li> <li>Redundancy calculation sheets</li> </ul>	<p>End of employment + 6 years</p> <p>See above for DA or DI staff costed into research grants</p>	Limitation Act 1980	Review See above	HR-Personnel Files and Core HR.	

Please note that documents should be submitted to HR for retention. Only documents concerning current staff need to be retained by the Department. Staff who have left their position should have their information retained by HR.

Record Group Name	Records within Group	Retention Period	Citation	Action at end of retention period	Where information to be retained	Notes
	<ul style="list-style-type: none"> <li>Redundancy Continuous Service Form</li> </ul>					
<b>Retirement</b>	<ul style="list-style-type: none"> <li>Acceptance of Retirement letter</li> <li>Notification of ill health retirement</li> <li>Notification of retirement</li> </ul>	<p>End of employment + 6 years</p> <p>See above for DA or DI staff costed into research grants</p>	Limitation Act 1980	Review See above	HR-Personnel Files and Core HR.	
<b>Hours worked (ERS)</b>	<ul style="list-style-type: none"> <li>Timesheets</li> </ul>	<p>2 years from date on which made</p> <p>See above for DA or DI staff costed into research grants</p>	The Working Time Regulations 1998 (SI 1998/1833)	Review See above	ERS	
<b>Absence Management</b>						
<b>Sickness</b>	Administration of an employee's sickness absence and sickness pay	End of Employment + 6 years	Obligations to keep records were abolished in:	Delete	HR	

Please note that documents should be submitted to HR for retention. Only documents concerning current staff need to be retained by the Department. Staff who have left their position should have their information retained by HR.

Record Group Name	Records within Group	Retention Period	Citation	Action at end of retention period	Where information to be retained	Notes
			The Statutory Sick Pay (Maintenance of Records) (Revocation) Regulations 2014 (SI 2014/55) CIPD advise end of employment + 6 years			
<b>Payroll and Pensions</b>						
<b>Payroll</b>	Payroll records relating to individuals e.g. <ul style="list-style-type: none"> <li>• P45/46</li> <li>• Change of bank details</li> <li>• Claim form</li> <li>• Timesheets</li> <li>• Correspondence</li> <li>• Leaver notifications (hourly paid staff)</li> <li>• Overpayments</li> <li>• Overtime claim form</li> <li>• Payroll instruction</li> <li>• Season ticket loan form</li> <li>• Staff loan form</li> </ul>	End of employment + 6 years	Limitation Act 1980	Delete	HR- Payroll	

Please note that documents should be submitted to HR for retention. Only documents concerning current staff need to be retained by the Department. Staff who have left their position should have their information retained by HR.

Record Group Name	Records within Group	Retention Period	Citation	Action at end of retention period	Where information to be retained	Notes
	<ul style="list-style-type: none"> <li>• Student loan</li> <li>• Foreign payments</li> <li>• Payment Vouchers</li> <li>• BACS redirection</li> <li>• NI Exemptions/Deferments</li> <li>• /Notifications</li> <li>• Jury Duty Notification</li> <li>• Payroll calculations (absence, unpaid leave)</li> <li>• Relocation expenses</li> <li>• Flexible benefits</li> <li>• Tusker documents</li> <li>• Direct Earnings Assessments/Court Orders/Child Support Agency</li> <li>• Misc payroll calculations (overrides, FTC adjustments, staff awards )</li> </ul>					
<b>Pension administration</b>	All documentation relating to an individual's pension: <ul style="list-style-type: none"> <li>• Pre DMS pensions</li> <li>• Auto enrolment</li> </ul>	End of Employment + 6 years	JISC	Delete	HR –Payroll	

Please note that documents should be submitted to HR for retention. Only documents concerning current staff need to be retained by the Department. Staff who have left their position should have their information retained by HR.



Record Group Name	Records within Group	Retention Period	Citation	Action at end of retention period	Where information to be retained	Notes
	letter/email <ul style="list-style-type: none"> <li>• Change to 50/50 scheme form</li> <li>• Change to main scheme form</li> <li>• Member request/query</li> <li>• Leaver form</li> <li>• Opt-in form</li> <li>• Opt-out form</li> <li>• Retirement information</li> <li>• Notification to pensions of retirement</li> <li>• AVCs (LGPS, USS, Prudential)</li> </ul>					