

05		HR					
Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
05.001	Employee Contract Management						
	Records documenting an employee's initial application for employment with the institution.		Termination of employment	6 years	Confidential destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
	Supporting documentation (e.g. references) for an employee's initial application for employment with the institution. For records documenting pre-employment health screening, see Health & Safety Management, Employee Health Surveillance.		Completion of appointment process	1 year	Confidential destruction	Business requirement	
	Records documenting an employee's subsequent applications for other jobs within the institution.		Duration of job	1 year	Confidential destruction	Business requirement	
	Records documenting an employee's contract(s) of employment with the institution.		Termination of employment	6 years	Confidential destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45

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	Records documenting changes to an employee's terms and conditions of employment.	Employment contracts	Termination of employment	6 years	Confidential destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
	Records documenting the job descriptions of positions held by an employee within the institution.		Duration of job	1 year	Confidential destruction	Business requirement	
	Records documenting induction programmes attended by an employee.		Completion of induction	1 year	Confidential destruction	Business requirement	
	Records documenting an employee's identified training and development needs, and the action taken to meet these needs.		Completion of actions	5 years	Confidential destruction	Business requirement	
	Records documenting job-specific statutory/regulatory training requirements for an employee, and the training provided to meet these requirements.		Date of expiry OR superseded certification	6 years	Confidential destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
	Records documenting routine assessments of an employee's performance, and any consequent action taken.	Job Descriptions	Date superseded	Superseded	Confidential destruction	Business requirement	

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	Records documenting disciplinary proceedings against an employee, where employment continues.	Disciplinary Committee, Staff Discipline	Closure of case	6 years	Confidential destruction	Business requirement	
	Records documenting grievances raised by an 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	Confidential destruction	Business requirement	
	Records documenting an employee's remuneration and rewards (e.g. bonuses, merit awards, long service awards).	Superannuation, Payroll, Tax query, P38s (HMRC form)	Current [academic] year	3 years * Recommended: 6 years	Confidential destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45 Equal Pay Act 1970 c.41 SI 1999/584 National Minimum Wage Regulations 1999
	Records relating to the administration of an employee's contractual holiday entitlement.		Current [academic] year	1 year	Confidential destruction	Business requirement	
	Records documenting an employee's routine absence due to sickness.		Termination of employment	2 years	Confidential destruction	Statutory	Social Security Contributions and Benefits Act 1992 c.4 IR CA30 Statutory Sick Pay Manual for employers CA30

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	Records documenting an employee's absence due to sickness as a consequence of exposure to hazardous substances during employment..		Termination of employment	40 years	Confidential destruction	Business requirement	S.I. 2002 No. 2675 Control of Asbestos at Work Regulations 2002 S.I. 2002 / 2675 Statutory Instrument 2002 No. 2676 The Control of Lead at Work Regulations 2002
	Records documenting the authorisation and administration of special leave, e.g. compassionate leave, study leave.		Current [academic] year	1 year	Confidential destruction	Business requirement	
	Records documenting the authorisation and administration of statutory leave entitlements, e.g. parental leave.		Completion of entitlement	6 years	Confidential destruction	Statutory	
	Records documenting entitlements to, and calculations of, Statutory Maternity Pay.		Current tax year	3 years	Confidential destruction	Statutory	Statutory Instrument 2006 No. 2014 The Maternity and Parental Leave etc. and the Paternity and Adoption Leave (Amendment) Regulations 2006
	Records containing an employee's basic personal details (e.g. address, next of kin, emergency contacts).		Current	While current	Confidential destruction	Statutory	Retention must comply with the provisions of the Data Protection Act 1998 c.29

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	Records documenting pre-employment health screening of an employee: employees exposed to hazardous substances during employment.		Termination of employment	40 years	Confidential destruction	Statutory	S.I. 2002 No. 2675 Control of Asbestos at Work Regulations 2002 S.I. 2002 / 2675 Statutory Instrument 2002 No. 2676 The Control of Lead at Work Regulations 2002
	Records documenting pre-employment health screening of an employee: other employees.		Termination of employment	6 years	Confidential destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
	Records documenting the issue of personal protective equipment/other special equipment to an employee.		Termination of employment	6	Confidential destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
	Records documenting major injuries to an employee arising from accidents in the workplace.		Termination of employment	40 years	Confidential destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
	Records documenting an employee's termination of employment by voluntary resignation, redundancy, retirement (including on medical grounds) or dismissal.		Termination of employment	6 years	Confidential destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45

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			Provision of reference	1 year	Confidential destruction	Business requirement	
05.002	Personnel Management Performance Management						
		Staff Development, Staff Development and Research Committee, Staff Development Programmes	Current [academic?] year	1 year	Confidential destruction	Business requirement	
			Current [academic?] year	10 years		Business requirement	Review for archival value
		Regrading exercise	Current [academic?] year	10 years		Business requirement	Review for archival value
05.003	Personnel Management						

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Records documenting the development and establishment of the institution's personnel management policies.		Date superseded	10 years		Business requirement	Review for archival value
05.004	Personnel Management Procedures Development						
	Records documenting the development of the institution's personnel management procedures.	Staff Development Scheme: Handbook Material	Date superseded	10 years		Business requirement	Review for archival value
05.005	Workforce Recruitment						
	Records documenting internal authorisation for recruitment.		End of current [academic] year	1 year	Destroy	Business requirement	
	Records documenting the advertising of vacancies.		Completion of appointment	6 months	Destroy	Statutory	Sex Discrimination Act 1975 c. 65 Race Relations Act 1976 c.74 Disability Discrimination Act 1995 c.50
	Records documenting enquiries about vacancies and requests for application forms.	Staffing - General enquiries	Completion of appointment	Completion of appointment	Destroy	Business requirement	
	Records documenting the handling of applications for vacancies : unsuccessful applications.		Completion of appointment	6 months	Confidential destruction	Statutory	Sex Discrimination Act 1975 c. 65 Race Relations Act 1976 c.74 Disability Discrimination Act 1995 c.50

Ref.	Activity/ Records Series	Description/ Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
	Records documenting the handling of applications for vacancies : successful applications.		Termination of employment	6 years	Confidential destruction	Statutory	Sex Discrimination Act 1975 c. 65 Race Relations Act 1976 c.74 Disability Discrimination Act 1995 c.50
	Records containing summary statistical information about job applicants e.g. ethnicity/gender analyses.		Current [academic] year	5 years	Destroy	Statutory	Sex Discrimination Act 1975 c. 65 Race Relations Act 1976 c.74 Disability Discrimination Act 1995 c.50
	Records containing management analyses of recruitment effectiveness e.g. use of advertising media.		Current [academic] year	1 year	Destroy	Business requirement	
	Records documenting the handling of unsolicited applications for employment.	Staffing - General enquiries	Date of last action on application	1 year	Destroy	Business requirement	
05.006	Workforce Relations Management						
	Records documenting the design of workforce surveys and consultations.		Completion of survey / consultation	5 years		Business requirement	Review for archival value
	Records containing (identifiable) individual responses to workforce surveys and consultations.		Completion of analysis of responses	Completion of analysis of responses	Confidential destruction	Business requirement	



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	Records containing summary (anonymised) results of workforce surveys and consultations.		Completion of survey	5 years		Business requirement	Review for archival value
	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	Confidential destruction	Statutory	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
05.007	Workforce Remuneration & Reward Management						
	Records documenting the development of the institution's remuneration structure.		Current [academic] year	10 years		Business requirement	Review for archival value
	Records documenting pay reviews.	Annual staffing round	Current [academic] year	5 years		Business requirement	Review for archival value
	Records documenting special reward schemes e.g. Merit Reviews.		Termination of the scheme	5 years		Business requirement	Review for archival value
05.008	Workforce Welfare						
	Records documenting the development of workforce welfare schemes and services e.g. counselling services.		Current [academic] year	5 years		Business requirement	Review for archival value

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	Records documenting the monitoring of hours worked by employees, as required by the Regulations cited.		Date of record	2 years	Confidential destruction	Statutory	Statutory Instrument 2002 No. 3128 The Working Time (Amendment) Regulations 2002