

August 2012

HUMAN RESOURCES

**Document Retention
Policy**



Royal Greenwich Human Resources Document Retention Policy

This policy accords with Royal Greenwich’s Record Management Policy and meets compliance standards within the Data Protection Act 1998. In compiling this document, Human Resources has adopted, the retention guidelines for Local Authority’s compiled by the Records Management Society of Great Britain (“the Guidelines”). Where the Guidelines have been departed from the reason has been given. The relevant section of the Guidelines has been referred to for ease of reference.

* Denotes where documents may be held by Human Resources and the Employee’s Current Line Manager.

File / Document Type	Location	Retention Period	Retention Period – Post Termination
Section I			
[Personal File] Application Form Job Description Reference Letters All Pre-Employment Check Documentation Statement of Terms & Conditions Signed Undertakings Signed Record of Receipt of Documents Probation Reports Asylum & Immigration documents All similar documents relating to subsequent appointments Letters of Resignation or Letter Terminating Employment Dismissal Form* Maternity/Paternity/Parental Leave* Written discussions between employee and Manager/HR Medical Referral Forms/Reports Employment At Risk Documentation*	All HR	All documents within this group should be retained for the life of the employment with Royal Greenwich with exception to documents relating to disciplinary matters	7 Years Except for those staff who work alone with Children or as part of their duties have direct, unsupervised one to one contact with children (eg School caretakers) in which case documents should be retained for 25 years

File / Document Type	Location	Retention Period	Retention Period – Post Termination
Section 2			
<p>[Employee and Industrial Relations]</p> <p><u>Policy Documents</u> Eg. Bonus Schemes and Injury Allowance Schemes Collective agreements Collective redundancies Reorganisation/Consultation <u>Legal decisions affecting t+c's</u></p> <p>(eg part time workers' pension cases) Pay awards Case monitoring documents. <u>Sickness Management</u> Return to work form(s) Informal Reviews Documents relating to formal sickness reviews and review outcomes <u>Disciplinary and Grievance Records</u> Communications to and from employee Letters of employee suspension Interview Notes Investigation Report Documents supplied to the employee in relation to the Disciplinary hearing</p>	<p>All located within HR</p> <p>All within HR All located</p> <p>within HR</p> <p>All located within HR</p> <p>Any documents relating to the investigation of a disciplinary issue or grievance should not be retained on the personal file but should be kept in a separate investigation or grievance file kept by HR Coaching and Advice.</p>	<p>Permanently, unless and until the existing policy is replaced.</p> <p>2 Years Permanently, unless and until the existing policy is replaced.</p> <p>1 year after action completed</p> <p>Royal Greenwich's policy is to retain records relating to the outcomes of disciplinary matters for longer periods that the Guidelines, namely: Oral Warning – 1 year Written Warning – 1 year</p>	<p>Not applicable</p> <p>N/A Not applicable</p> <p>Retain for 7 years</p>

File / Document Type	Location	Retention Period	Retention Period – Post Termination
Section 2			
		<p>Final Warning – 3 years <i>This departure form the Guidelines reflects employee’s terms and conditions of employment.</i> The above warnings to be removed and destroyed after the relevant time have “spent”.</p>	
<p><u>Disciplinary hearing</u> Letters of disciplinary or grievance outcome Sickness warnings Employment at risk documentation</p> <p><u>Appeal Records</u> Appeal Request Letter Appeal Investigation Report Appeal Hearing Documentation Appeal Outcome Letter</p>	<p>Decision letters should be kept on the personal file.</p> <p>Documents relating to the investigation of an appeal should not be retained on the personal file but should be kept in a separate appeal file by HR Coaching and Advice. Decision letters should be placed on the personal file.</p>	<p>Warnings involving children should be placed on file permanently, which is defined as being kept indefinitely.</p> <p>Where an allegation is unfounded, all documentation should be destroyed immediately.</p> <p>The documents within this group should be retained for 3 years.</p>	<p>25 years</p> <p>Not applicable except for where involve children.</p> <p>See section one.</p>

File / Document Type	Location	Retention Period	Retention Period – Post Termination
Section 3			
[Recruitment] Advertisement Application Pack All Application Forms Monitoring Forms: Short – Listing Scoring Sheets Interview Scoring Sheets Panel Interview Notes Letters to Unsuccessful Applicants	Documents within this group should be retained by HR	1 year for all documents within this group	Not applicable for all documents within this group
Section 4			
[Staff Monitoring] One to One Meeting Records Performance Review & Development Records (PRAD's) Attendance Records Flexi-time Sheets Annual Leave Records Leave Application Special Leave Arrangements* Flexible Working Arrangements Records* Unpaid Leave*	All documents within this group should be retained with the Employee's Current Line Manager	Documents within this group should be retained for 2 years after action	Not applicable
Section 5			
[Financial Reward] Honorarium/ Acting up Payroll records Loans Expenses Medical certificates	Retained on personal file	Destroy 7 years after action completed.	All records relating to actual payments are dealt with under finance common practice. <i>This differs from the Guidelines but has been adopted with advice from the Council's tax adviser.</i>

File / Document Type	Location	Retention Period	Retention Period – Post Termination
Section 6			
[Training and Development] Staff receiving records (not occupational health and safety or children related) Training records concerning children Training records concerning health & safety Training materials and proof of completion	Retained by manager Retained by departmental HR Retain for 2 years after training completed Retain by manager	Retained 2 years after action Retain for 25 years after training completed or last entry Retain by manager Retain for 1 year after course superseded	Retain for 7 years Retain for 25 years Retain for 7 years Retain for 7 years