

June 2006

**HUMAN RESOURCES**

# **Document Retention Policy**

## Royal Borough of Greenwich Human Resources Document Retention Policy

This policy accords with the Royal Borough of Greenwich’s Record Management Policy and meets compliance standards within the Data Protection Act 1998. In compiling this document, Human Resources have adopted the retention guidelines for Local Authorities 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 and/or HR People Centre.

File / Document Type	Location	Retention Period	Retention Period – Post Termination
<b>Section I</b> <b>[Personal File]</b> Application Form Job Description Reference Letters  All Pre-Employment 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	All HR People Centre	All documents within this group should be retained for the life of the employment with the Royal Borough, 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 (e.g. School caretakers) in which case documents should be retained for 25 years

Terminating Employment Dismissal Form* Maternity/Paternity/Parental Leave* Written discussions between employee and Manager/HR Medical Referral Forms/Reports Employment At Risk Documentation*	Location	Retention Period	Retention Period – Post Termination
File / Document Type	Location	Retention Period	Retention Period – Post Termination
<b>Section 2</b>			
<b>[Employee and Industrial Relations]</b>			
<u>Policy Documents</u> E.g. Bonus Schemes and Injury Allowance Schemes	All located within HR	Permanently, unless and until the existing policy is replaced.	Not applicable
Collective agreements Collective redundancies Reorganisation/Consultation <u>Legal decisions affecting t&amp;c's</u>	All within HR All located	2 Years Permanently, unless and until the existing policy is replaced.	N/A Not applicable
(e.g. part time workers' pension cases) Pay awards Case monitoring documents. <u>Sickness Management</u> Return to work form(s) Informal Reviews	within HR All located within HR	1 year after action completed	Retain for 7 years
Documents relating to formal sickness reviews and review outcomes			

<p><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>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>The Royal Borough'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  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><b>File / Document Type</b></p>	<p><b>Location</b></p>	<p><b>Retention Period</b></p>	<p><b>Retention Period – Post Termination</b></p>
<p><u>Disciplinary hearing</u>  Letters of disciplinary or grievance outcome  Sickness warnings  Employment at risk documentation</p>	<p>Decision letters should be kept on the personal file.</p>	<p>Warnings involving children should be placed on file permanently, which is defined as being kept indefinitely.</p>	<p>25 years</p> <p>Not applicable except for where involve</p>

<p><u>Appeal Records</u>  Appeal Request Letter  Appeal Investigation Report  Appeal Hearing Documentation  Appeal Outcome Letter</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>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>children.</p> <p>See section one.</p>
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File / Document Type	Location	Retention Period	Retention Period – Post Termination
<b>Section 3</b> <b>[Recruitment]</b> 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 People Centre	1 year for all documents within this group	Not applicable for all documents within this group
<b>Section 4</b> <b>[Staff Monitoring]</b> 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
<b>Section 5</b> <b>[Financial Reward]</b> 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 Royal Borough's tax adviser.</i>

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