



DERBYSHIRE COUNTY COUNCIL

Human Resources Retention Schedule

Due to the ongoing Independent Inquiry into Child Sexual Abuse (IICSA) some record types have been marked DO NOT DESTROY on this retention schedule. When the Inquiry has concluded, this guidance will be reviewed.



Version History				
Version	Date	Detail	Author	Responsible Officer
1.00	Unknown	First version	Nigel Hughes	Director of Human Resources
2.00	2013	Reformatted	Tracey Wall	Director of Human Resources
3.00	2015	Reformatted with substantial changes to content including increasing retention employee files	Tracey Wall	Director of Human Resources
4.00	April 2015	Changes following agreement with Legal Services on adding 'high risk' employee groups, and the distinction between 7 or 25 years retention for employee files	Nigel Hughes	Director of Human Resources
5.00	August 2017	Reformatted. Inclusion of storage location information.	Nigel Hughes	Emma Crapper (Senior HR Service Partner)
5.01-4	April, Jul, Aug, Dec 2018	Identifies files affected by the IICSA order. Additional cross references. New entries for external clients. Expanded Occupational Health section. Extension of HR 6.01 to 12 months. Amalgamation of personal training and employee records (Sections 1 and 10).	Mark Smith/Tracey Wall	Emma Crapper – Director of OD & Policy
5.05	May 2019	HR 1.07 and HR 1.08: transposition of rules corrected	Mark Smith/Tracey Wall	
5.06	Sep 2019	HR 1.05, 1.07 and 1.08 amended to 7, 7 and 6 years respectively. Scope of HR 1.08 amended to cover transactional paperwork. HR 1.12 introduced to distinguish local authority-maintained schools from academies	Mark Smith/Tracey Wall	
5.07	Mar 2020	Updated web links. Retention period for Occupational Health files increased to 100 years.	Mark Smith/Tracey Wall	

Standard Operating Procedure

Some records do not need to be kept at all. Standard Operating Procedures (SOP) define all records which staff may routinely destroy in the normal course of business. However, the retention/disposal schedule must still contain references and instructions concerning them.

SOP usually applies to information that is duplicated, unimportant, or of only short term transactional or operational value.

Examples include:

- 'with compliments' slips
- catalogues and trade journals
- reports from third parties circulated for information
- journals of professional bodies or organisations
- telephone message slips
- non-acceptance of invitations
- trivial electronic mail messages or notes that are not related to Authority business
- requests for standard information such as location maps, plans, contact details, opening hours or promotional material
- out-of-date distribution lists/staff directories
- minutes circulated for information
- Diaries (where notebooks where content is transferred into other electronic systems) not required as evidence

(Note, this is not an exhaustive list)

Duplicated and superseded material such as official stationery, manuals, drafts, forms, address books and reference copies of DCC annual reports may be destroyed under SOP. Electronic copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered by SOP and may be destroyed

SOP should not be applied to records or information that can be used as evidence– to prove that something happened or that a decision was reached. Examples include: staff meeting minutes, public consultation papers or any record that has made a significant contribution to the discussion of the business being conducted should be captured as a record and have a retention period assigned.

Glossary of Terms:

Closure: when a record ceases to be 'current' – this can be the when a set of minutes are formally agreed, or when a Help Desk incident is formally closed. Many retention periods are triggered after the 'closure' of a record

Disposal: the processes associated with the end of a records lifecycle, they will typically include destruction of the records or transfer of the records to Derbyshire Record Office for permanent preservation

Functional Description: the description of the function that the record serves (i.e. the functional description of a set of minutes is 'the process of preparing business...')

Permanent: Retain the record permanently and transfer to Derbyshire Record Office

Record: the recorded evidence about an activity

Retention Action: the action regarding the retention of a record, these will be triggered by a particular event (i.e. the closure of a record)

High Risk Groups: road-workers, craft-workers, and landscape staff

Additional Information:

Corporate Records Disposal Procedures:

<https://staff.derbyshire.gov.uk/information-security/confidential-information/disposing-of-confidential-information/disposing-of-confidential-information.aspx>

Additional Retention Schedules (including HR, Management and Administration, Property, Procurement):

<https://staff.derbyshire.gov.uk/information-security/confidential-information/records-retention-schedules/records-retention-schedules.aspx>

For further information about the contents of this retention schedule, or for records management generally contact Records Management on records.management@derbyshire.gov.uk or on ext. 39203

At a glance guide to other retention periods

Record Type	Retention Period	Further Information
Finance Records	6 years (from the end of the current financial year)	Finance Retention Schedule
Operational meeting minutes	3 years (from agreement of minutes)	Management and Administration Retention Schedule
Strategic meeting minutes	Permanent (transfer to Derbyshire Record Office)	Management and Administration Retention Schedule
Statistics	6 years	Management and Administration Retention Schedule
Contract Records	6 years (ordinary contract, 12 years (contract under seal) from end of terms of contract)	Procurement Retention Schedule
Staff Records	7 years from end of employment or 25 years from end of employment (if working in a social care or risk group)	Human Resources Retention Schedule
Cabinet reports	Permanent	Management and Administration Retention Schedule
Interview documents	12 months (for unsuccessful candidates), retain on personnel file for successful candidates	Human Resources Retention Schedule
Majority of health and safety records	7 years (with the exception of asbestos and radiation records)	Health and Safety Retention Schedule
Policies and associated procedures	Permanent (transfer to Derbyshire Record Office)	Management and Administration Retention Schedule

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
HR Administration					
HR 1.01	Personnel record – summary information	Permanent. Transfer to Derbyshire Record Office	Name Date of birth Appointment details	Business Requirement	Electronic – SAP data
HR 1.02	Personal employment and training record (excluding staff covered by sections HR 1.03, 1.09, 1.10, 1.11 below)	DO NOT DESTROY until IICSA has given permission (see note on front page). Thereafter: Destroy 7 years from end of council employment.	Personal employee file, SAP record, Learning and Development System record	Limitation Act 1980. Personal Employee Record excludes health and safety, DBS forms, and Safeguarding information	Departmental HR Officer Shared Services Centre SAP LDS
HR 1.03	Personal employment and training record of staff who: <ul style="list-style-type: none"> work with children work with vulnerable adults are in high risk groups (road-workers, craft-workers, and landscape staff) 	DO NOT DESTROY until IICSA has given permission (see note on front page). Thereafter: Destroy 25 years from end of council employment.	Personal employee file, SAP record, Learning and Development System record.	Limitation Act 1980. Personal Employee Record excludes health and safety, DBS forms, and Safeguarding information	Line Manager Departmental HR Officer SAP LDS
HR 1.09	Personal employment and training record of staff under regular health surveillance	DO NOT DESTROY until IICSA has given permission (see note on front page).	Personal employee file, SAP record, Learning and Development System record	Business Requirement Personal Employee Record excludes health and safety, DBS forms,	Line Manager Departmental HR Officer SAP LDS

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
		Thereafter: Destroy 40 years from end of council employment.		and Safeguarding information	
HR 1.10	Personal employment and training record of staff who may have been exposed to asbestos	DO NOT DESTROY until IICSA has given permission (see note on front page). Thereafter: Destroy 40 years from end of council employment.	Personal employee file, SAP record, Learning and Development System record	Control of Asbestos Regulations 2012. Personal Employee Record excludes health and safety, DBS forms, and Safeguarding information	Line Manager Departmental HR Officer SAP LDS
HR 1.11	Personal employment and training record of staff who may have been exposed to radiation	DO NOT DESTROY until IICSA has given permission (see note on front page). Thereafter: Destroy 50 years from end of council employment.	Personal employee file, SAP record, Learning and Development System record	Ionising Radiation Regulations 2017. Personal Employee Record excludes health and safety, DBS forms, and Safeguarding information	Line Manager Departmental HR Officer SAP LDS
HR 1.04	Salary records (retained within business areas)	6 years from end of financial year	Wage; overtime; additional hours payments	Statutory If stored on the Employee Record, see Section 1	Line Manager
HR 1.05	Records relating to pension information	7 years from the last payment (whether to the pensioner or any beneficiary)	Deceased pensioner information and any beneficiary payment information	Business Requirement	SAP

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
HR 1.06	CPRS Records	Review in 2020 (10 years from SAP implementation)	Personal information	Business Requirement	Mainframe legacy vault
HR 1.07	Payroll records (i.e. SAP record) relating to elected members and external clients other than local authority-maintained schools	7 years from leaving	External client examples: Academies, Multi-Academy Trusts Record examples: SAP records containing contractual data	Business Requirement Excludes transactional paperwork (see HR 1.08)	Electronic – SAP data
HR 1.12	Payroll records (i.e. SAP record) relating to employees of local authority-maintained schools	DO NOT DESTROY until IICSA has given permission (see note on front page). Thereafter: 25 years from leaving		Business Requirement Excludes transactional paperwork (see HR 1.08)	Electronic – SAP data
HR 1.08	Transactional documents relating to employees of external clients, schools, academies, pensioners and elected members	6 years from end of financial year	New starter forms, adjustments, leavers forms	Business Requirement	Shared Services Centre

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
HR Casework and Employment Policies/Procedures					
HR 2.01	Casework records relating to staff not working with children/vulnerable adults and high risk groups (road-workers, craft-workers, and landscape staff)	DO NOT DESTROY until IICSA has given permission (see note on front page). Thereafter: Destroy 7 years from end of council employment.	Notes of Meetings; Letters; Witness Statements; Statements of Case	Business Requirement	Departmental HR Officers Shared Services Centre
HR 2.02	Casework records relating to staff working with children/vulnerable adults and high risk groups (road-workers, craft-workers, and landscape staff)	DO NOT DESTROY until IICSA has given permission (see note on front page). Thereafter: Destroy 25 years from end of council employment.	Notes of Meetings; Letters; Witness Statements; Statements of Case	Business Requirement	Departmental HR Officers Shared Services Centre
HR 2.03	Records relating to safeguarding investigations	DO NOT DESTROY until IICSA has given permission. Thereafter: Destroy 75 years from closure.	Notes of meetings	Safeguarding regulations See also CHILD 1.02	Safeguarding Officers
HR 2.04	Records relating to the implementation of employment policies/procedures	7 years from closure	Code of Conduct; Recruitment and Selection; Redundancy,	Business Requirement <i>Note: Policy/procedures are retained permanently (see MA 2.3.2 in the</i>	HR Officers

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
			Redeployment and Protection of Earnings	<i>Management/Admin retention schedule)</i>	
HR 2.05	Criminal records disclosure – disclosure details	6 months from check	DBS Checks	DBS Code of Practice	DBS Team
HR 2.06	Operational staff planning	6 years from closure For staff rosters in children's homes, see the Children's Services retention schedule	Rotas Skills Matrix	Business Requirement	Service Areas
Leave, Absence, Working Time, Travel					
HR 3.01	Records relating to annual leave, flexi time, working time and other leave records	5 years from action completed SAP data may be retained until IICSA permits deletion	Annual leave Flexitime Working time arrangements Special leave	Business Requirement If stored on the Employee Record, see Section 1	Electronic – SAP data Service Areas
HR 3.02	Sickness absence records (retained within business areas)	6 years from end of tax year	Collective summary information	If stored on the Employee Record, see Section 1	Service Areas
HR 3.03	Travel claim records	6 years from date of claim	Receipts	Financial regulations. If stored on the Employee Record, see Section 1	With employee

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
Job Evaluation and Equal Pay					
HR 4.01	Single Status appeals	7 years from end of council employment	Notes of meetings Individual claims	Business Requirement. If stored on the Employee Record, see Section 1	HR Officers
HR 4.02	Job evaluation – working papers relating to job evaluation exercises for large groups (non-individual specific)	Permanently. Transfer to Derbyshire Record Office	Correspondence Working documents	Business Requirement	HR Officers
HR 4.03	Job evaluation – results of job evaluation exercises relating to individual employees	7 years from end of council employment	Correspondence Working documents	Business Requirement. If stored on the Employee Record, see Section 1	HR Officers
HR 4.04	Job evaluation summary information	Permanently. Transfer to Derbyshire Record Office	Summary information	Business Requirement	HR Officers
HR 4.05	Equal pay records – relating to individual employees	7 years from end of council employment	Chronology; COT3; Risk Assessment	Business Requirement	HR Officers
Employee and Industrial Relations					
HR 5.01	Corporate and departmental consultations, negotiations, and dispute resolutions	7 years from end of agreement/closure	Generic agreements and awards Consultations Negotiations Disputes Notes of joint meetings Claims logged	Business Requirement	HR Officers

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
HR 5.02	Minor and routine industrial relations and trade union matters	7 years from end of administrative use	Day-to-day industrial relations management	Business Requirement	Managers HR Officers
HR 5.03	Employment Tribunal cases	10 years from closure of case	Notes of Meetings; Letters; Witness Statements; Statements of Case	Business Requirement. If stored on the Employee Record, see Section 1	HR Officers
Recruitment					
HR 6.01	The process of appointing an individual to a post – unsuccessful candidates	12 months from end of recruitment process	Advertisements Applications References Interview/shortlisting notes Vetting information (for DBS checks, see HR 2.05)	Business Requirement	Recruiting Manager
HR 6.02	The process of appointing an individual to a post – successful candidates	Retain as per employee file – see Section 1	Advertisements Applications References Interview/shortlisting notes Vetting information (for DBS checks, see HR 2.05)	Business Requirement Files should include copy evidence of legal right to work in the UK (Immigration, Asylum and Nationality Act 2006, explained on www.gov.uk/employ-someone)	Employee File

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
HR 6.03	Preparations for a recruitment process	6 years from end of recruitment	Interview Questions Interview Tests	Review after 6 years – may be appropriate to retain for future recruitments	Service Areas
HR 6.04	Work experience and volunteer records	6 years from end of placement	Basic personnel data Details of placement	Business Requirement	Service Areas
HR 6.05	Role profiles and job descriptions	Permanent. Transfer to Derbyshire Record Office	Role Profiles Job Descriptions	Business Requirement	Corporate HR Officers
Performance Management					
HR 7.01	Managing performance, supervision, and induction	7 years from closure	Workforce development plans Collective summary information	Business Requirement	Personnel File (see Section 1)
Equalities					
HR 8.01	Monitoring of staff recruitment and data from ongoing employee equalities monitoring exercises	4 years from action completed	Collective summary information	Business Requirement	HR Officers
HR 8.02	Developing council equalities and diversity initiatives	6 years from closure	Notes of meetings; Guidance/Policies;	Business Requirement	HR Officers
HR 8.03	Monitoring the workforce in terms of equalities	Permanent. Transfer to Derbyshire Record Office	Collective summary information	Business Requirement	HR Officers

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
Health and Wellbeing					
HR 9.01	The process of managing the Occupational Health of council employees and the employees of external clients	100 years from date of birth	Occupational Health file	Control of Vibrations at Work Regulations 2005; Control of Substances Hazardous to Health Regulations 2002; Business need: evidence of health at start of employment may take on legal significance later (e.g. early access to pension under Local Government Pension Scheme rules) so Occupational Health files are retained for 100 years from birth, as an estimated lifespan.	Occupational Health Section, offsite storage
HR 9.02	Employee wellbeing services	7 years from closure	Counselling service file	Limitation Act 1980 Sickness forms and other routine wellbeing records are stored on the personnel file (see Section 1)	

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
Training and Development					
HR 10.01	Administration of routine staff training	7 years from closure	Course details Training Register (if not recorded on LDS)	Most training records are held in parallel with personal employee record (see Section 1)	Training Provider (internal); Line Managers