

Retention Schedule for records relating to the Personnel Management function

This section provides retention periods for the University's records series that relate to activities carried out under the 'Personnel management' function, irrespective of their media. The schedule is arranged according a business function and activity model (JISC, 2003) or FAM, which can be found at http://www.jisc.ac.uk/index.cfm?name=srl_structure.

The Personnel management function is described as: "the function of managing the institution's workforce as a whole and the institution's relationship with individual employees". Employees means people employed directly by the University on permanent or fixed term contracts. The employment of temporary staff through employment agencies comes under 'Procurement' in the JISC FAM. For records relating to the payment of employees' salaries, the management of overtime and the University payroll, financial transactions (including those between the University and its employees) and employers' pension contributions see the 'Finance management' function.

The schedule records record series relating to a given functional activity. Following the series title and a brief description of the series, the department or body (e.g. committee) primarily responsible for its maintenance is recorded and a retention period is given. The retention period takes account of statutory, regulatory and operational requirements which require that records be kept for a certain period of time. Accordingly, unless directed otherwise, records should not be disposed of prior to the expiration of these periods. Instances where a maximum period for retention is given are generally for *designated* duplicates. Duplicates may be destroyed earlier, when operational requirements have been met, having ensured that the originals exist and the duplicate status of the records is clear. The authority for the retention period (the statute, regulation or policy that requires the information to be kept for a certain period) is given where applicable. Further details on the legislation and statutory instruments cited are given separately: <http://www2.warwick.ac.uk/services/archive/rm/policies/rmpolicy/legislation/>.

Under the Data Protection Act 1998 personal information should not be kept for longer than is necessary and it should be relevant and not excessive. For this reason, good information and space management, and the ability to access information efficiently in a timely and accurate manner, records should not be retained for significantly longer than the prescribed retention period. Further advice on the review, destruction, and transfer of records is given separately. This retention schedule and related records management guidance fall under the University's Records Management Policy.

Personnel Strategy Development

The activities involved in developing and establishing the University's personnel strategy.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
1.1	Records documenting the development of the University's personnel strategy.	Personnel Office	Superseded + 10 years then transfer to Archive.	NA	
1.2	Academic Staff Committee Minutes, agenda and papers	Senate Committee (Personnel Office)	Permanent. Retained by Personnel Office for 2 years then transferred to the Archive.	University Policy	For committee's terms of reference see Governance website.
1.3	Equal Opportunities Committee Minutes, agenda and papers	Council and Senate Committee (Personnel Office)	Permanent. Retained by Personnel Office for 2 years then transferred to the Archive.	University Policy	For committee's terms of reference see Governance website. Liaises with the Equal Opportunities Network.

Personnel Management Planning

The activities involved in formulating plans to implement the University's personnel strategy.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
2.1	Records documenting the formulation of plans for the implementation of the University's personnel strategy	Personnel Office	Superseded + 10 years then review for archival value	NA	

Personnel Management Performance Management

The activities involved in monitoring the University's performance against the plans for implementing its personnel strategy.

Activities include: developing performance indicators and measurement mechanisms; measuring, monitoring and analysing performance; conducting formal reviews of performance and responding to the results, including preparing and implementing action plans to address under-performance or other issues raised.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
3.1	Records containing data on, and analyses of, performance against the plans for the implementation of the University's personnel strategy.	Personnel Office	Until superseded then destroy.	NA	
3.2	Records containing reports of performance against the plans for the implementation of the University's personnel strategy.	Personnel Office	Current year + 10 years then review for archival value	NA	
3.3	Records documenting the conduct and results of audits and reviews of the personnel management function, and responses to the results.	Personnel Office	Current year + 10 years then review for archival value	NA	
3.4	Equal Opportunities Committee	Minutes, agenda and papers	Council and Senate Committee	Permanent. Retained by Personnel Office for 2 years then transferred to the Archive.	University Policy For committee's terms of reference see Governance website. Liaises with the Equal Opportunities Network.

Personnel Management Policy Development

The activities involved in developing and establishing the University's personnel management policies.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes	
4.1	Records documenting the development and establishment of the University's personnel management policies.	Personnel Office	Superseded + 10 years then review for archival value	NA		
4.2	Academic Staff Committee	Minutes, agenda and papers	Senate Committee (Personnel Office)	Permanent. Retained by Personnel Office for 2 years then transferred to the Archive.	University Policy	For committee's terms of reference see Governance website
4.3	Academic Staff Development and Appraisal Committee	Minutes, agendas and papers	Academic Staff Committee (Centre for Academic Practice)	Permanent. Retained by CAP for 2 years then transferred to the Archive.	University Policy	Develops and reviews academic staff development policy. Archive reference: UWA/M/ASDAC. Formerly the Academic Appraisal Committee. For committee's terms of reference see Governance website.
4.4	Equal Opportunities Committee	Minutes, agenda and papers	Council and Senate Committee	Permanent. Retained by Personnel Office for 2 years then transferred to the Archive.	University Policy	For committee's terms of reference see Governance website. Liaises with the Equal Opportunities Network.
4.5	Personnel policies (originals)		Personnel Office	Permanent. Copy to Archive on creation.	NA	
4.6	Personnel policies (copies)		Departments and website	Until superseded then destroy.	NA	Using on-line versions should ensure that you access the current version and avoid the problems of storing paper versions
4.7	Training Policies		IT Services; Centre for Academic Practice	Permanent. Copy to Archive on creation.	NA	

Personnel Management Procedures Development

The activities involved in developing the University's personnel management procedures.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes	
5.1	Records documenting the development of the University's personnel management procedures	Personnel Office (Personnel Advisers)	Until superseded + 10 years	NA		
5.2	Advisory Committee on the Appointment of Chairs of Department	Minutes, agenda and papers	Council Committee (Personnel Office)	Permanent. Retained by Personnel Office for 2 years then transferred to the Archive.	University Policy	For committee's terms of reference see Governance website
5.3	Equal Opportunities Committee	Minutes, agenda and papers	Council and Senate Committee	Permanent. Retained by Personnel Office for 2 years then transferred to the Archive.	University Policy	For committee's terms of reference see Governance website. Liaises with the Equal Opportunities Network.
5.4	Personnel procedures	Personnel Office (Personnel Advisers)	Copy to Archive on creation. Departmental copies and web versions: until superseded then destroy.	NA		

Workforce Planning

The activities involved in identifying the workforce competencies required to implement the University's strategic plan and planning to meet these requirements.

Activities include: analysing the size, composition, structure and competencies of the University's workforce; reporting on the composition of the University's workforce to the statutory authorities; developing job specifications for new posts, and conducting job evaluation exercises to determine grading and remuneration; reviewing existing job specifications and re-evaluating jobs.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
6.1	Records documenting the assessment and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements.	Personnel Office	Current year + 3 years	1980 c.58	
6.2	Records documenting management succession plans.	Personnel Office	Superseded + 5 years then review for archival value	NA	
6.3	Records documenting the development and evaluation of job specifications.	Personnel Office	Superseded + 5 years then review for archival value	NA	
6.4	Academic Staff Committee Minutes, agenda and papers	Senate Committee (Personnel Office)	Permanent. Retained by Personnel Office for 5 years then transferred to the Archive.	NA	For committee's terms of reference see Governance website. Succeeded the Promotions Committee and Professorial Board (UWA/M/P, UWA/M/PR)
6.5	Remuneration Committee Minutes, agenda and papers	Council Committee (Deputy Registrar's Office)	Permanent. Retained for 2 years then transferred to the Archive.	NA	To determine and review the remuneration packages of the Vice-Chancellor and the Registrar and other senior members of the University staff whom it is deemed appropriate to refer to the Committee
6.6	Annual Review Papers	Records of the Annual Review Bodies	Personnel Office	Retain 2-5 years then transfer to Archive for permanent retention	NA
6.7	Clerical and Technical Staff Sub Committees	Personnel Office	Retain 2-5 years then transfer to Archive for permanent retention	NA	

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes	
6.8	Hay Management	Hay Management Review Groups, Hay Reviews, Hay Management Consultants, HM Heads of Personnel	Personnel Office	Current year + 5 years then review for archival value	NA	
6.9	Pay reviews	Records documenting pay reviews	Warwick Retail: Bookshop, Warwick Print	Current year + 5 years	NA	
6.10	Professorial Salary Review		Personnel Office	Current year + 5 years then review for archival value	NA	See Academic Staff Committee
6.11	Job Evaluations: Annual Estimates	Annual estimates. Hay evaluations of new and existing posts	Personnel Office	Current year + 5 years then review for archival value	NA	
6.12	Central Job Evaluation Files	Job evaluations for clerical, technical and administrative staff. Job description, follow-up correspondence, information from evaluation panels, result of evaluation.	Personnel Office	Current year + 5 years then review for archival value	NA	
6.13	Departmental Job Evaluation Files	Application and result	Departments	Current year + 5 years then review need to retain	NA	If decision/core info duplicated, then destroy asap. Anonymise/abstract key information if kept for long-term reference. If kept for historical reference (i.e. longer than necessary for original purpose it was created for) then the information should not be reactivated to support or make a decision re the data subject(s) and status as reference record made clear [1998 c. 29, section 33]

Workforce Recruitment

The activities involved in recruiting employees to fill new or vacant jobs.

Activities include: authorising recruitment; advertising vacancies; handling enquiries about vacancies; processing employment applications; reviewing and responding to unsolicited employment applications.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes	
7.1	Advisory Committee on the Appointment of Chairs of Department	Council Committee (Personnel Office)	Permanent. Retained by Personnel Office for 2 years then transferred to the Archive.	NA	For committee's terms of reference see Governance website	
7.2	Appointment of Academic, Administrative and Research Staff	Application papers.	Personnel Office: Recruitment Office	Papers of successful candidates will be retained until at least the termination of employment + 6 years in an individual's personal file. Unsuccessful candidates: completion of appointment + 6 months.	1975 c. 65 1976 c. 74 1995 c. 50 [University Policy]	Related series: Personal file (backing papers); advertising papers; senior academic appointments
7.3	Appointments to Chairs/Readerships	Applications, correspondence, further particulars, references, search committee notes	Personnel Office	Completion of appointment + 3 years. Successful candidates' papers form the backing papers of the individual's Personal File.	1975 c. 65 1976 c. 74 1995 c. 50	From advertising to taking up post (this period could extend from 6 months to 3 years).
7.4	Promotions to Chairs	Recommendation for promotion: CVs, recommendations and references, papers of electoral boards and outside bodies, internal papers.	Personnel Office	Successful candidates: termination of appointment + 6 years. Unsuccessful candidates: completion of appointment + 6 months.	1975 c. 65 1976 c. 74 1995 c. 50	Material is retained in this series until appointment made. Some documents then form part of Academic Staff Committee papers. Papers of successful candidate go to form the backing papers of their Personal File. Generally active for one academic year.
7.5	Appointment of Clerical, Technical and Weekly-Paid Staff	Application form recorded then sent to Department and later returned when post is filled.	Personnel Office: Recruitment Office	Successful candidates: on completion of appointment papers transferred to personal file: retained until termination of appointment + 6 years. Unsuccessful candidates: completion of appointment + 6 months.	1975 c. 65 1976 c. 74 1995 c. 50	

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
7.6	Appointment of Honorary and Visiting Professors and Associate Fellows	Personnel Office	Termination of tenure + 6 years	1975 c. 65 1976 c. 74 1995 c. 50	The appointment process generally takes 3-6 months. Honorary and Visiting Professors are appointed for 5 years, Associate Fellows for 3 years.
7.7	Memoranda sent to Interview Panels	Personnel Office: Recruitment Office	Current academic year + 1 year	NA	
7.8	Adverts and further particulars / Advertising papers	Personnel Office: Recruitment Office	Completion of appointment + 1 year.	1975 c. 65 1976 c. 74 1995 c. 50	
7.9	Adverts placed (originals)	Personnel Office: (Recruitment Office)	Completion of appointment + 6 months	1975 c. 65 1976 c. 74 1995 c. 50	If includes internal authorisation for recruitment retain for minimum of current year + 1 year
7.10	Adverts placed (copies)	Departments; Website	Until completion of appointment then destroy	NA	
7.11	Analysis of adverts placed and posts advertised	Personnel Office: Recruitment Office	Current year + 3 years	NA	
7.12	Record of recent posts advertised	Personnel Office: Recruitment Office	Current academic year + 1 year	NA	
7.13	Application forms	Departments	Successful candidates: retained until termination of employment + 6 years in Personal File Unsuccessful candidates: completion of appointment + 6 months	1975 c. 65 1976 c. 74 1995 c. 50	

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
7.14	Job description and further particulars (copies)	Departments	While active then destroy	NA	
7.15	Job descriptions of past (filled) posts	Personnel Office: Recruitment Office	Current year + 5 years	NA	
7.16	Offers of appointment that are declined	Correspondence (in and out) relating to offers and their rejection Personnel Office: Payroll Office	6 months then destroy	1975 c. 65 1976 c. 74 1995 c. 50	
7.17	Promotions to Chairs	Recommendation for promotion: CVs, recommendations and references, papers of electoral boards and outside bodies, internal papers/professorial committee Personnel Office	Successful: termination of appointment + 6 years. Unsuccessful: completion of appointment + 6 months.	1975 c. 65 1976 c. 74 1995 c. 50	Material is retained in this series until appointment made. Some documents then form part of Academic Staff Committee papers. Papers of successful candidate go to form the backing papers of their Personal File. Generally active for one academic year.
7.18	Records documenting enquiries about vacancies and requests for application forms	Personnel Office: Recruitment Office / Departments	Completion of appointment	NA	
7.19	Records documenting the handling of unsolicited applications for employment	Personnel Office: Recruitment Office / Departments	Last action on application + 1 year	NA	
7.20	Records containing summary statistical information about job applicants e.g. ethnicity/gender analyses.	Personnel Office: Recruitment Office	Current year + 5 years	NA	
7.21	Records containing management analyses of recruitment effectiveness e.g. use of advertising media.	Personnel Office: Recruitment Office	Current year + 1 year	NA	

Workforce Induction

The activities involved in developing and implementing induction programmes for new employees.

Activities include: developing general and job-specific induction programmes; administering induction programmes to ensure that all new employees complete the required programme. For records documenting individual employees' induction programmes, see Employee Contract Management.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
8.1	Academic Staff Development and Appraisal Committee	Minutes, agendas and papers	Academic Staff Committee (Centre for Academic Practice)	Permanent. Retained by CAP for 2 years then transferred to Archive.	University Policy Archive reference: UWA/M/ASDAC. Formerly the Academic Appraisal Committee. For committee's terms of reference see Governance website.
8.2	Induction Handbooks		Personnel Office; Centre for Academic Practice	Copy to Archive on creation.	NA
8.3	Records documenting the administration of induction programmes.		Personnel Office; Centre for Academic Practice	Completion of programme + 1 year OR Termination of programme + 1 year	NA
8.4	Working files relating to administration of induction programmes and events		Centre for Academic Practice	Completion of programme/event + 1 year	NA
8.5	Records documenting the development, overall delivery and assessment of induction programmes for new employees.		Personnel Office; Centre for Academic Practice	Current year + 5 years	NA

Workforce Training & Development

The activities involved in training and developing the University's workforce.

Activities include: identifying and analysing workforce training and development needs; evaluating ways of meeting these needs; developing/selecting training and development programmes/events; monitoring take-up of training and development opportunities and events; collecting and analysing feedback on training and development programmes/events; measuring the impact of training and development programmes/events on the workforce and on business performance.

For teaching and training materials see Teaching – Taught course preparation and delivery

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
9.1 Academic Staff Development and Appraisal Committee	Minutes, agendas and papers	Academic Staff Committee (Centre for Academic Practice)	Permanent. Retained by CAP for 2 years then transferred to Archive.	University Policy	Develops and reviews academic staff development policy and co-ordinates internal staff development programme for academic staff. Archive reference: UWA/M/ASDAC. Formerly the Academic Appraisal Committee. For committee's terms of reference see Governance website.
9.2 Files on courses/events arranged by CAP for academic and research staff.	Include venue and catering info, bookings and delegate info, correspondence with speakers, attendance lists and evaluation forms	Centre for Academic Practice	Completion of event + 3 years then files weeded. Only attendance lists retained.	NA	Respect provisions of 1998 c. 29.
9.3 Staff development/training handbooks	Handbooks for departmental academic staff development co-ordinator's and Warwick Teaching Certificate participants.	Centre for Academic Practice	Permanent archive set maintained by CAP.	NA	Each handbook is updated annually and a library set retained.
9.4 Centre for Academic Practice Publications	<i>Forum</i> (printed and web) Chairs Handbook (web) <i>Interactions</i> (web) Teaching in the Sciences (web)	Centre for Academic Practice	Copy to Archive on creation.	NA	

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes	
9.5	Working files on current induction packs and staff development/training handbooks	Centre for Academic Practice	Current year + 1 year	NA		
9.6	Warwick Teaching Certificate: Participant handbooks	See Staff development/training handbooks	Centre for Academic Practice	Permanent archive set maintained by CAP.	NA	Each handbook is updated annually and a library set retained.
9.7	Graduate Teaching Assistant Course files	Information on the training courses that CAP organises for Graduate Teaching Assistants: correspondence with departments, teaching assistants and presenters, and course venue and catering arrangements	Centre for Academic Practice	Current academic year + 1 year then course attendance lists removed and filed separately and file destroyed	NA	Graduate Teaching Assistants: postgraduate research fellows or postgraduates who teach. For attendance lists see <i>Employee contract management</i> .
9.8	Course attendance database for academic staff	Centre for Academic Practice	Permanent	NA	Where inactive or non-current records cannot be deleted because information is required for reference, historical or statistical analysis, records should be designated as archival and their use comply with the provisions of section 33 of 1998 c. 29. Where possible delete or abstract non-essential personal information.	
9.9	Warwick Teaching Certificate Committee and Standing Group: meeting files	Minutes, agendas and papers	Centre for Academic Practice	Permanent. Retain 2 years then transfer to Archive.	NA	
9.10	Warwick Teaching Certificate: Event organisation and correspondence	Venue and catering bookings	Centre for Academic Practice	Date of event + 1 year	NA	
9.11	Training materials for contract research staff	Centre for Academic Practice	Life of course then review for archival value.	NA		

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
9.12	Course evaluations from contract research staff	Centre for Academic Practice	Current academic year + 5 years	NA	
9.13	Database for the administration of the Warwick Teaching Certificate	Centre for Academic Practice	Permanent	NA	Where inactive or non-current records cannot be deleted because information is required for reference, historical or statistical analysis, records should be designated as archival and their use comply with the provisions of section 33 of 1998 c. 29. Where possible delete or abstract non-essential personal information.

Workforce Performance Management

The activities involved in monitoring the performance of the University's workforce as a basis for developing reward schemes and dealing with general performance issues.

Activities include: collating and analysing staff performance assessments; reviewing and responding to the cumulative results of staff performance assessments.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
10.1 Academic Staff Committee	Minutes, agenda and papers	Senate Committee (Personnel Office)	Permanent. Retained by Personnel Office for 2 years then transferred to the Archive.	University Policy	For committee's terms of reference see Governance website
10.2 Academic Staff Development and Appraisal Committee	Minutes, agendas and papers	Academic Staff Committee (Centre for Academic Practice)	Permanent. Retained by CAP for 2 years then transferred to the Archive.	University Policy	Monitors and reviews academic appraisal scheme Archive reference: UWA/M/ASDAC. Formerly the Academic Appraisal Committee. For committee's terms of reference see Governance website.
10.3 Administration of Academic-Related Appraisals	Administrative documentation, correspondence and reports from departments concerning training needs. Does not include copies of individuals' appraisal reports.	Personnel Office	Current academic year + 3 years then review for archival value	NA	Administration of the appraisals of academic-related staff. Related documents: register of academic-related appraisals; appraisal forms (retained by department and filed in departmental personal files or as a separate series).
10.4 Appraisal Registers: Academic-Related Staff	A spreadsheet documenting when appraisals for academic-related staff were last effected and are next due	Personnel Office	NA: information constantly updated.	NA	Current information; constantly updated for administrative needs and in accordance with 1998 c. 29.
10.5 Appraisal Registers: Academic Staff	Departmental registers and correspondence: re appraisals done and due (academic staff only)	Centre for Academic Practice; Departments	CAP to retain definitive record.	NA	Retain with reference to 1998 c. 29. Where retained for historical or statistical reference, status should be identified and treated in compliance with section 33 of 1998 c. 29.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
10.6	Probations	Personnel Office	Kept for reference (maximum 2 years) then destroyed.	NA	The probation letter and report are filed on the Personal File
10.7	Records documenting the development of workforce performance assessment systems.	Personnel Office	Life of system + 5 years then review for archival value	NA	
10.8	Records containing summary (anonymised) results of employees' performance assessments.	Personnel Office	Current year + 3 years	NA	
10.9	Records documenting management analyses of the impact of workforce performance assessment systems.	Personnel Office	Current year + 5 years	NA	

Workforce Remuneration & Reward Management

The activities involved in developing and implementing workforce remuneration structures and reward schemes.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes	
11.1	Academic Staff Committee	Minutes, agenda and papers	Senate Committee (Personnel Office)	Permanent. Retained by Personnel Office for 5 years then transferred to the Archive.	NA	For committee's terms of reference see Governance website. Succeeded the Promotions Committee and Professorial Board (UWA/M/P, UWA/M/PR)
11.2	Remuneration Committee	Minutes, agenda and papers	Council Committee (Deputy Registrar's Office)	Permanent. Retained for 2 years then transferred to the Archive.	NA	To determine and review the remuneration packages of the Vice-Chancellor and the Registrar and other senior members of the University staff whom it is deemed appropriate to refer to the Committee
11.3	Annual Review Papers	Records of the Annual Review Bodies	Personnel Office	Retain 2-5 years then transfer to Archive for permanent retention	NA	
11.4	Hay Management	Hay Management Review Groups, Hay Reviews, Hay Management Consultants, HM Heads of Personnel	Personnel Office	Current year + 5 years then review for archival value	NA	
11.5	Pay reviews	Records documenting pay reviews	Warwick Retail: Bookshop, Warwick Print	Current year + 5 years	NA	
11.6	Professorial Salary Review		Personnel Office	Current year + 5 years then review for archival value	NA	See Academic Staff Committee
11.7	Job Evaluations: Annual Estimates	Annual estimates. Hay evaluations of new and existing posts	Personnel Office	Current year + 5 years then review for archival value	NA	
11.8	Central Job Evaluation Files	Job evaluations for clerical, technical and administrative staff. Job description, follow-up correspondence, information from evaluation panels, result of evaluation.	Personnel Office	Current year + 5 years then review for archival value	NA	

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
11.9	Departmental Job Evaluation Files	Departments	Current year + 5 years then review need to retain	NA	If decision/core info duplicated, then destroy asap. Anonymise/abstract key information if kept for long-term reference. If kept for historical reference (i.e. longer than necessary for original purpose it was created for) then the information should not be reactivated to support or make a decision re the data subject(s) and status as reference record made clear [1998 c. 29, section 33]
11.10	Clerical and Technical Staff Sub Committees	Personnel Office	Retain 2-5 years then transfer to Archive for permanent retention	NA	
11.11	Records relating to Warwick Awards for Teaching Excellence	Centre for Academic Practice	Current year + 5 years then review for archival value	NA	
11.12	Records documenting the development of the University's remuneration structure.	Personnel Office	Current year + 10 years then review for archival value	NA	
11.13	Records documenting Merit Reviews and special reward schemes	Personnel Office	Termination of scheme + 5 years then review for archival value	NA	

Workforce Welfare Management

The activities involved in providing support services (e.g. occupational health services) for staff.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
12.1	Campus Life Committee	Senate Committee	Permanent. Retained by Personnel Office for 5 years then transferred to the Archive.	NA	For committee's terms of reference see Governance website
12.2	Records documenting the development of workforce welfare schemes and services	E.g. counselling services.	Personnel Office	Current year + 5 years then review for archival value	NA
12.3	Records documenting the monitoring of hours worked by employees, as required by the Regulations cited.	Personnel Office	Date of record + 2 years	S.I. 1998 / 1833	

Workforce Relations Management

The activities involved in managing the University's relationship with its workforce.

Activities include: developing and implementing mechanisms for communicating with, and consulting, the workforce; conducting workforce surveys and reviewing and responding to the results.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
13.1	Academic Staff Development and Appraisal Committee	Minutes, agendas and papers	Academic Staff Committee (Centre for Academic Practice)	Permanent. Retained by CAP for 2 years then transferred to the Archive.	University Policy Archive reference: UWA/M/ASDAC. Formerly the Academic Appraisal Committee. For committee's terms of reference see Governance website.
13.2	Records documenting the design of workforce surveys and consultations.	Personnel Office	Completion of survey / consultation + 5 years then review for archival value	NA	
13.3	Records containing (identifiable) individual responses to workforce surveys and consultations.	Personnel Office	Completion of analysis of responses	NA	
13.4	Records containing summary (anonymised) results of workforce surveys and consultations.	Personnel Office	Completion of survey + 5 years then review for archival value	NA	
13.5	Records documenting grievances raised by staff (which do not relate directly to their own contracts of employment), the University's response, action taken and the outcome.	Personnel Office; Departments	Last action on case + 6 years	1980 c.58	

Employee Contract Management

The management of the University's contractual relationships with individual employees.

Activities include: maintaining complete and accurate records of individual employees' recruitment, induction, performance, discipline, training and development, occupational health and welfare, leave, pensions and termination; providing employment references for current and former employees

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
Personal Files					
14.1	Personal File (Personnel Office)	Personnel Office: Payroll Office	Termination of employment + 75 years. Where employees not on pension scheme: Termination of employment + 40 years	1980 c. 58 1992 c. 4 IR CA30	Due to the filing of pension contributions' information within the central personal file, the minimum retention period has to be significantly extended. The file begins with the appointment letter, is maintained as a paper file for the duration of employment + 1 year and is then microfiched as a pensions file (if retiring) or as a personal file (if leaving). Any additions after fiching are added to a separate paper file series arranged chronologically by year and then by name (MO1 and WO1 Miscellaneous files).
14.2	Personal File (Personnel Office): MO1 and WO1 Miscellaneous files	Personnel Office: Payroll Office	Termination of employment + 75 years	1980 c. 58	The maintenance of the personal file after transformation to another media. The ongoing recording of documentary activity in relation to a former member of staff who was on the monthly or manual payrolls. Associated with the microfilmed MO1 and WO1 personal and pensions files
14.3	Personal File (Personnel Office): WO1 Payroll	Personnel Office: Payroll Office	On UPS pension scheme: termination of employment + 75 years Not on pension scheme: termination of employment + 40 years	1980 c. 58 1992 c. 4 IR CA30	On leaving becomes a leavers'/pension file for a calendar year then microfiched.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
14.4	Personal File (Personnel Office): FO1 Payroll	Personnel Office: Payroll Office	Termination of employment + 6 years (unless contain pensions/sickness details: records re sickness + 40 years; pension contributions + 75 years)	1980 c. 58	Fees: FO1 Employee Record Forms
	The 'personal file' of staff on FO1 payroll (fees/occasional payroll, including part-time teachers) Contains: yellow fees record form/bank and personal details; any correspondence. When employee requests a P45 or no payment has been made for a year their record is weeded and becomes a 'Leavers' file'.		File currently weeded on termination of relationship with University and microfiched.		
14.5	Personal File (Personnel Office): Casuals	Personnel Office: Payroll Office	Termination of employment + 6 years	1980 c.58	
	Staff record form, letter of appointment, request to appoint, paperwork (proof of eligibility etc).				
14.6	Personal File (Departmental)	Departments	Termination of employment + 6 years	1980 c. 58	Duplicated information should be destroyed as soon as it becomes inactive. The central personal file maintained by the Personnel Office should be considered as the definitive record. The principal reason for retention of the departmental file after termination of employment is for reference writing but to respect the provisions of the Data Protection Act the file should not be retained for longer than 6 years after this date.
				but with regard to the provisions of 1998 c. 29 and the degree of duplication with the central personal file.	
14.7	Season contract files	Arts Centre	Termination of employment + 6 years	1980 c. 58	Copies of the contract sheet sent to all relevant (Arts Centre) departments can be destroyed on the termination of employment
	Contract sheet, contract and rider (if relevant)				
Sickness Records					
14.8	Records documenting an employee's absence due to sickness (original)	Personnel Office	Termination of employment + 40 years	1992 c. 4 IR CA30	

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
14.9 Sick Notes	Doctors' notes, notifications to return to work, supporting correspondence (internal and external).	Personnel Office: Payroll Office	Termination of employment + 40 years	1992 c.4 IR CA30	
14.10 Sickness: WO1 Payroll	Those on long-term sick leave; probationers on sick leave; [summary] record form for long term sick (form for each person on how much they've been paid over all); SSP1 (Statutory Sick Pay 1) - sent to employee needs to send it to Benefits Agency for any benefits	Personnel Office: Payroll Office	Retained as a file series while employees on leave then transferred to individuals' personal files.	1992 c. 4 IR CA30	Record of those currently on sick leave and payments to be made etc
14.11 Record of employees on long-term sick leave	A working file recording those currently on long-term sick leave	Personnel Office: Payroll Office	Until leave ceases	NA	Principal records documenting an employee's absence due to sickness then should be termination of employment + 40 years (1992 c. 4; IR CA30)
14.12 Self Certification forms (copies)		Departments	Current year + 1 year	NA	
14.13 Doctor's notes (copies)		Departments	Current year + 1 year	NA	
14.14 A+B forms (copies)		Departments	Current year + 1 year	NA	
Leave Records					
14.15 Summary sheet of absences (original)		Departments	Termination of employment	NA	
14.16 Record of employees on leave of absence		Personnel Office: Payroll Office	Until leave ceases	NA	
14.17 Committee for Study Leave and Leave of Absence	Minutes and papers (including study leave applications and reports)	Personnel Office	Retain for current academic year + 1 year then transfer minutes, agenda and official papers to Archive for permanent retention. Day files/working files can be destroyed.	NA	Related records: study leave application forms and spreadsheet

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
14.18 Study Leave Application Forms (for those currently on leave)	Record of those people currently on study leave or applying for leave.	Personnel Office	Forms retained here while individuals on leave. At expiration of leave go to Personal Files.	NA	A copy also exists in the minutes of the Committee for Study Leave and Leave of Absence (which approves the leave)
14.19 Study Leave Spreadsheet	Used to co-ordinate study leave data (which person from which department had study leave, when)	Personnel Office	Until information superseded	NA	
14.20 Records relating to the administration of an employee's contractual holiday entitlement	Holiday request forms, summary holiday entitlements, holiday cards	Departments	Current leave year + 1 year	NA	
14.21 Maternity Leave	Correspondence between University and applicant. Copies also to department head, occupational health, individual and Payroll Office.	Personnel Office	Termination of leave then original documentation transferred to Personal file.	SI 1986 no. 1960	Statutory requirement to keep records documenting entitlements to and calculations of maternity pay and re the operation of the Statutory Maternity Pay scheme for the current tax year + 3 years (SI 1986 no. 1960)
14.22 Maternity Pay	A working file recording those on maternity pay	Personnel Office: Payroll Office	Until maternity leave/payments cease	NA	
Personal Details					
14.23 Summary personal/financial details	Open Door Payroll system (which preceded by 'Yellow Cards' series)	Personnel Office: Payroll Office	Termination of employment + 75 years	NA	Respect provisions of 1998 c. 29.
14.24 Summary personal/financial details		Departments	Termination of employment + 6 years	NA	To reduce the scope of duplication of information and the burden in ensuring this information is kept accurate, departments should help ensure the central record is kept accurate from the expiration of departmental records.
14.25 Changes of Name	Staff name changes (former and current names: both names indexed and cross-referenced)	Personnel Office: Payroll Office	Termination of employment + 75 years	NA	Record/index of changes in name (as a result of marriage, keeping a professionally recognised name)

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
Discipline & Grievance					
14.26	Disciplinary files	Departments	Closure of case + 6 years	NA	If disciplinary action resulted in changes to salary, terms or conditions of service, or allowances, this information should be recorded in the central personal file.
14.27	Disciplinary cases and appeals	Personnel Office, Director of Personnel Services	Closure of case + 6 years	NA	See also central and departmental personal files
14.28	Subject files: Individuals' employment tribunals	Personnel Office	Closure of case + 6 years	NA	May retain longer where constitutes an important case or new precedent, but should anonymise/abstract information as far as possible in this instance.
14.29	Grievances	Personnel Office	Closure of case + 6 years	NA	
Pensions					
14.30	Pensions Files (microfiched) MO1 and WO1 personal files of retired members of staff on pension scheme	Personnel Office: Payroll Office	Termination of employment + 75 years	1992 c. 4 1980 c. 58	
14.31	Discretionary wish forms	Personnel Office: Payroll Office	Termination of employment + 75 years	1980 c. 58	
14.32	Pension policies	Personnel Office: Payroll Office	Termination of employment + 75 years	1980 c. 58	For institutional policies see 'Pension schemes administration'
Probation					
14.33	Central probation record	Personnel Office	Retained for relevant probation period then destroyed.	NA	

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
14.34 Academic staff probations	Details of new appointments sent to CAP by Personnel Office (copies of appointment letters and details of probationary courses attended) to monitor attendance at courses and invite new academic staff to appropriate courses)	Centre for Academic Practice	Appointment letters: current academic year + 1 then shredded. Probationary records: probationary period (maximum of 4 years) then destroy	NA	Arranged alphabetically by name (DP)
14.35	Records relating to attendance on mandatory courses for academic staff on probation	Centre for Academic Practice	Period of probation + 1 year	NA	Summary information sent to Personnel Office
Training & Development					
14.36 Academic Staff Committee	Minutes, agenda and papers	Senate Committee (Personnel Office)	Permanent. Retained by Personnel Office for 2 years then transferred to the Archive.	NA	For committee's terms of reference see Governance website. Relevant papers re individuals' cases also copied to their personal file

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
14.37 Training	Application form for funding; supporting documentation (e.g. course outline), approval, how much spent	Personnel Office	Copies to applicant and head of department (destroy on termination of contract) and original to personal file (to be retained for a minimum of 5 years from completion of training). Where a job carries a specific statutory/regulatory training requirement, keep until expiry of certification + 6 years or until superseded + 6 years.*	1980 c. 58*	Budgeting for job related training courses for clerical, technical and manual staff
14.38 New appointments and probationary staff	Details of new appointments sent to CAP by Personnel Office (copies of appointment letters and details of probationary courses attended) to monitor attendance at courses and invite new academic staff to appropriate courses)	Centre for Academic Practice	Appointment letters: current academic year + 1 then destroy. Probationary records: probationary period (maximum of 4 years) then destroy	NA	Arranged alphabetically by name (DP)
14.39 Graduate Teaching Assistants' attendance on training courses	Attendance lists	Centre for Academic Practice	10 years then review for archival value	NA but must comply with provisions of 1998 c. 29	
14.40 Warwick Teaching Certificate Participant Files	File for individuals participating in WTC and prospective participants (not yet enrolled)	Centre for Academic Practice	Personal data: end of registered student relationship + 6 years Record of enrolment and final qualification(s) awarded: permanent	1980 c. 58 but must comply with provisions of 1998 c. 29	Arranged alphabetically by participant (DP)
14.41 Warwick Teaching Certificate: Assessment records and assignments		Centre for Academic Practice	Record of enrolment and final qualification(s) awarded: permanent	1980 c. 58 but must comply with provisions of 1998 c. 29	

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
14.42	Course attendance database for academic staff	Centre for Academic Practice	Permanent	NA	Where inactive or non-current records cannot be deleted because information is required for reference, historical or statistical analysis, records should be designated as archival and their use comply with the provisions of section 33 of 1998 c. 29. Where possible delete or abstract non-essential personal information.
Early Retirement / Leaving					
14.43	Committee on Early Retirement	Personnel Office	Retain 2 years then transfer to Archive for permanent retention	NA	
14.44	Day files on Early Retirement	Personnel Office	Destroy when inactive	NA	
14.45	Subject file: Early Retirement	Personnel Office	Current year + 10 years then review for archival value.	NA	
14.46	Former honorary professors	Personnel Office: Payroll Office	Termination of their relationship with the University + 6 years then review for archival value.	NA	Record of honorary professors that have left the University. Contains letter to professor thanking them for service.
References					
14.47	References given in support of employee's application to another institution	Departments	Provision of reference + 6 years	NA	

Industrial Relations Management

The activities involved in managing the University's relationships with trade unions and professional bodies representing its workforce.

Activities include: managing recognition and de-recognition of trade unions; managing communication and consultation with bodies conducting collective bargaining on behalf of the workforce.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes
15.1	Subject Files: Trade Unions and Industrial Relations	Personnel Office	De-recognition + 6 years	1980 c. 58	Commonly arranged by name of Union.
	Records documenting institutional recognition/ de-recognition of trades unions				
	Records documenting agreements with trade unions		Termination of agreement + 10 years		
	Records documenting routine communications with trade union representatives, including minutes of meetings		Current year + 20 years then review for archival value		
	Records documenting consultations/negotiations with trade unions on specific issues		Last action on issue + 20 years then review for archival value		

Pension Schemes Administration

The activities involved in administering the University's involvement with pension schemes of which University staff are members.

For administration of individual employees' relationships with the pension schemes, see Employee Contract Management.

Record Series	Description	Maintained by	Retention Period	Retention Authority	Notes	
16.1	Records documenting the University's relationships with pension schemes to which all or part of its workforce belongs.	Personnel Office: Payroll Office	Termination of relationship + 5 years	NA		
16.2	Records documenting routine communications with the pension schemes.	Personnel Office: Payroll Office	Current year + 5 years	NA		
16.3	Subject files: Pension schemes	Subject files: pension scheme regulations, announcements to members, trustees...	Personnel Office: Payroll Office	Records relating to University's relationship with its pension schemes: termination of relationship + 5 years Records documenting routine communications with the pension schemes: current year + 5 years	NA	
16.4	Pension Scheme Policies	Personnel Office: Payroll Office	Termination of University's relationship with scheme + 5 years	1980 c. 58	If policies relate to individuals: termination of employment + 75 years.	