

Human Resources Records Management policy

Procedure document PS01: Human Resources Office

Spring 2005

Office function and responsibilities

The Human Resources Office within the Human Resources Section is responsible for the administration of recruitment, selection and appointment of University Staff; Criminal Records Bureau checks; and work permit applications. The office also manages the development of the University's Human Resources Strategy; policies and procedures related to personnel issues; conditions of service for staff; employees' entitlements; study leave; leave of absence; outside paid work; and disciplinary issues, as well as job evaluation and grading and the implementation of employment law developments.

Human Resources office: Records Management practice

Human Resources database - paradigm

The Human Resources Office manages its own permanent database, known as Paradigm, which holds personal information relating to each member of staff and each unsuccessful job applicant. In relation to staff members, Paradigm provides a formal, permanent record of an individual's period of employment at the University. It retains permanently information including personal details, salary, grade, department, and dates of appointment. Records of unsuccessful job applicants are removed after eighteen months.

Personal files: permanent staff

The Human Resources Office creates and manages a central, manual file relating to each member of permanent staff. Standard files contain the individual's CV; appointment letter; salary authority; employment contract; any work permit applications; details of any salary increments, study leave or outside paid work; and records of external requests for information about the individual. Relevant information is added to the file during the period of employment. When the individual leaves the University's employment (including through retirement), the file is destroyed confidentially six calendar years after the calendar year of departure. A permanent record of the period employment is retained on the Human Resources Database.

Personal Files: temporary staff

The Human Resources Office creates and manages a central, manual file relating to each member of temporary staff. Standard files contain the individual's CV; appointment letter; salary authority; employment contract; any work permit applications; details of any salary increments, study leave or outside paid work; and records of external requests for information about the individual. Relevant information is added to the file during the period of employment. When the individual leaves the University's employment, the file is destroyed

confidentially two calendar years after the calendar year of departure. A permanent record of the period employment is retained on the Human Resources Database.

Recruitment (job) files

When a job vacancy arises, a job file is created. The file holds the advertisement; further particulars; expense claims; all applications for the post; and interview records. Once the post is filled, the application relating to the successful candidate is transferred to their personal file. The office retains the job file until the end of the academic year following the academic year of appointment.

Ethnic monitoring questionnaires

The Human Resources Office is responsible for managing the collection of data relating to the ethnic monitoring of those applying to join the University workforce. Once returned by applicants, the information supplied on the questionnaires is transferred onto the Human Resources Database. The questionnaires are destroyed immediately.

Annual review – support staff

The Human Resources Office retains separate records relating to consideration by the Finance and Strategy Staffing Sub-Committee of recommendations for the award of additional discretionary increments and lump sum payments to individual members of support staff. The records are retained for six calendar years after the calendar year during which the recommendation is considered.

Annual review – academic staff

The Human Resources Office retains separate records relating to consideration by the Finance and Strategy Staffing Sub-Committee of recommendations for the award of additional discretionary increments and lump sum payments to individual members of academic staff. The records are retained for six calendar years after the calendar year during which the recommendation is considered.

Study leave spreadsheet

The Human Resources Office holds and manages a central spreadsheet that provides details of current staff members' study leave activities. The spreadsheet is retained permanently and amended as necessary. A record is also held on the relevant individual's personal file.

Outside paid work spreadsheet

The Human Resources Office holds and manages a central spreadsheet that provides details of staff members' outside paid work. The spreadsheet is retained permanently and amended as necessary. A record is also held on the relevant individual's personal file.

Joint grading panels

The Human Resources Office is responsible for managing the arrangements for the grading of clerical and secretarial staff and uses a Joint Grading Panel system, which involves a Panel meeting to discuss the relevant issues. The papers and minutes from the meetings

and related records are retained for six calendar years after the calendar year in which the Panel meets.

Higher Education role analysis/job evaluation

The office is responsible for managing the arrangements for the grading of senior administrative posts and uses the Higher Education Role Analysis (HERA) scheme. Records relating to the process are held separately by calendar year. They are retained for six calendar years after the calendar year in which the analysis takes place.

Criminal Records bureau disclosures

The Human Resources Office is responsible for carrying out the usual Criminal Records Bureau (CRB) checks in relation to new employees. Records of the CRB disclosures are retained separately for six months after the date of disclosure before destruction.

Finance and strategy staffing sub-committee

The Human Resources Office provides the Secretary to the Finance and Strategy Staffing Sub-Committee. The Secretary is responsible for the management and permanent retention of the Committee's minutes and papers. The papers are stored in the Human Resources Office.

Senate staffing committee

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Standing Committee on Professorships

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Equal opportunities steering group

The Human Resources Office provides the Secretary to the Equal Opportunities Steering Group. The Secretary is responsible for the management and permanent retention of the Group's minutes and papers. The papers are stored in the Human Resources Office.

Day Nursery management group

The Human Resources Office provides the Secretary to the Day Nursery Management Group (formally the Day Nursery Management Committee). The Secretary is responsible for the management and permanent retention of the Group's minutes and papers. The papers are stored in the Human Resources Office.

Budget Records: cost centre reports and detailed expenses

The office retains records relating to its financial and budget activities for six financial years after the current financial year. The records constitute cost centre reports provided by Finance and expenses data.

Higher Education Statistics Agency (HESA) submissions

The Human Resources Office is required to provide annual statistics to HESA. For comparative purposes, records relating to the submissions are retained for ten academic years after the academic year of submission.

Internal recruitment statistics

Half yearly statistics are provided for the Vice-Chancellor every six months for analysis of the cost of recruiting staff. The relevant information is maintained on an excel spreadsheet by calendar year. For reference purposes, the spreadsheet and any accompanying paper copy is retained for five calendar years after the calendar year to which the statistics relate.

Equal opportunities statistics

The Human Resources Office collates and produces various equal opportunities statistics to report to the Equal Opportunities Steering Group. The statistics then form part of the Steering Group's formal papers that are retained permanently. For reference purposes, the statistics are also retained separately within the Human Resources Office for five calendar years after the calendar year to which they relate.

Recruitment advertisements

The Human Resources Office uses two main sources to advertise job vacancies: Jobs.ac.uk and AdsFab. For reference purposes, the Office retains a paper copy of each advertisement that is placed. The advertisement is retained for two calendar years after the calendar year in which the advertisement is placed.

Sickness absence records: Human Resources office and occupational health

For internal office reference purposes, the office holds records of sickness absence for staff located in the Human Resources Office and who work for the Occupational Health Service. These are stored by calendar year and destroyed three years after the current calendar year.

Human Resources policies and codes of practice

As a permanent record of the University's personnel activity, the Human Resources Office is responsible for the permanent retention of all formal University policies and codes of practice relating to personnel activities. As a new policy or code of practice is adopted, the previous version is archived according to the calendar year in which it was first adopted. All previous and old versions are marked to indicate the period during which they were in force.

Post establishment files

The Human Resources Office holds records relating to the establishment of new posts or changes to existing posts. The Office holds a file relating to each Academic Department and

Administrative Section. The records are managed by academic year and retained for six academic years following the academic year during which the post is created or changed.

University visitors

The Human Resources Office is responsible for legitimising the time spent at the University by visiting academic staff. Records relating to each visitor are retained for two calendar years after the calendar year in which the visit period starts.

External audit

The Human Resources Office retains permanently records relating to external audits.

Administrative services review (internal audit)

The Human Resources Office retains permanently records relating to internal audits.

Human Resources strategy

The Human Resources Office is responsible for the production and publication of the University's Human Resources Strategy. Each Strategy is stored by calendar year and retained permanently.

Working Party papers

Working Party files are managed in accordance with the University-wide policy on the management and retention of working party papers.