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| **HR, Payroll and Pension document retention schedule**  |
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| Version 2.01  |
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# Introduction

This document sets out the University’s planned retention schedule for HR, payroll and pensions related documents.

The interaction between HR and Payroll in the processing of employee data cannot be overlooked or underestimated. This paper therefore reports on both HR, Payroll and Pensions records.

# HMRC requirement

Details of document type and retention are available from HMRC <http://www.hmrc.gov.uk/payerti/payroll/record-keeping.htm> which states 3 years plus current. However, HMRC can go back through up to 6 years of records and make a claim against the University under the Statute of Limitations.

# University of Southampton Financial Regulations

The University’s Financial Regulations (Finance Policy 4 – [Financial Systems and Retention of Financial & Associated Legal Documents](https://sotonac.sharepoint.com/%3Ab%3A/r/teams/FinancePlanningandAnalytics/Finance%20regulations%20policies%20procedures/Policies/Finance%20Policy%204%20-%20Retention%20of%20Financial%20and%20%20Associated%20Legal%20Documents.pdf?csf=1&e=Sd2P8F)) state that the University is required by law to retain all payroll records for the current tax year plus the previous six tax years.

This must therefore be a factor into the HR and Finance departments’ approaches to data retention.

It should also be noted that, where this report refers to the retention and processing of ‘pensions’ data, it is referring to PASNAS pension scheme, this scheme is owned and administered by the University and payroll and HR details are required to be held for longer than HMRC requirements, 100 years from the termination of employment. Other University pension schemes are administered by third party providers and do not need to be held on University systems.

# Retention Schedules

Please note that members of PASNAS pension scheme will have their record retained for 100 years, shown in last column.

## Candidates for job vacancies

| **Record detail** | **Retention** | **Right to be forgotten?** | **Ist action** | **System/area** | **Legal basis for processing** | **PASNAS Pension** |
| --- | --- | --- | --- | --- | --- | --- |
| Recruitment application forms and interview notes (for unsuccessful candidates) | 12 months | No | Destroy | eRecruit | The employer’s legitimate interests |  |
| Online Staff Request Form (when managers seek approval to recruit) | 12 months | No | Destroy | eRecruit | The employer’s legitimate interests |  |
| Candidate details supplied by Third Party Agency | 12 months | Yes | Destroy | EmaileRecruit (if progressed through Recruitment process) | The employer’s legitimate interests |  |
| Sensitive personal data at point of recruitment related to unsuccessful candidates  | 12 months | Yes | Destroy | eRecruit  | ConsentThe employer’s legitimate interests |  |

## Recruitment offers for employees and workers (through UniWorkforce)

| **Record detail** | **Retention** | **Right to be forgotten?** | **Ist action** | **System/area** | **Legal basis for processing** | **PASNAS Pension** |
| --- | --- | --- | --- | --- | --- | --- |
| Successful candidates only: application, CV, offer and acceptance letters, references | 7 Years after end of employment  | No | Destroy | ResourceLink DocStore  | Performance of a contract  | 100 Years |
| Right to work evidence (including UKVI) checked at job offer stage | 7 Years after end of employment | Yes after 2 years after the date checked | Destroy | ResourceLink DocStore | Compliance with legal obligations |  |
| Criminal Records Disclosure for relevant identified roles - Have you any unspent criminal convictions in line with the Rehabilitation of Offenders Act 1974? | 7 years after end of employment  | No | Destroy | ResourceLink DocStore | Compliance with legal obligations | 100 Years |
| Successful candidates only: DBS check (offer confirmed) | 7 Years after end of employment | No | Destroy | First Advantage Online Service / ResourceLink | Compliance with legal obligations  |  |
| Successful candidates only: DBS check (offer withdrawn) | 12 months | Yes | Destroy | First Advantage Online Service  | Compliance with legal obligations The employer’s legitimate interests |  |
| Personal contact details for UniWorkforce mailing pools | 1 year after inaction in eRecruit | Yes | Destroy | eRecruit | Consent |  |

## Employment and career

| **Record detail** | **Retention** | **Right to be forgotten?** | **Ist action** | **System** | **Legal basis for processing** | **PASNAS Pension** |
| --- | --- | --- | --- | --- | --- | --- |
| Name and personal details including contact details (address, telephone email), emergency contact/next of kin, marital status | 7 Years after end of employment (unless linked to PASNAS Pension) | No | Destroy  | ResourceLink / DocStore | Compliance with legal obligations Performance of a contract | 100 Years |
| Right to work in the UK information including passport, visa, online right to work check  | 7 Years after end of employment (unless linked to PASNAS Pension) | No | Destroy | ResourceLink/DocStore | Compliance with legal obligations Performance of a contract | 100 Years |
| Equal Opportunities | 7 Years after end of employment | No | Destroy | ResourceLink DocStore | Compliance with legal obligations  |  |
| National Insurance details  | 7 Years after end of employment  | No | Destroy | ResourceLink DocStore | Compliance with legal obligations Performance of a contract | 100 Years |
| Qualifications and professional registration membership details | 7 Years after end of employment | No | Destroy | ResourceLink DocStore | Performance of a contractThe employer’s legitimate interests |  |
| Contractual documentation and terms of engagement | 7 Years after end of employment  | No | Destroy | ResourceLink DocStore | Performance of a contract | 100 Years |
| Records of hours worked and working patterns  | 7 years | No | Destroy | ResourceLink | Compliance with legal obligations |  |
| Changes to individual’s terms and conditions | 7 Years after end of employment | No | Destroy | ResourceLink DocStore | Performance of a contract | 100 Years |
| Secondment arrangements  | 7 Years after end of employment  | No | Destroy | ResourceLink DocStore | Performance of a contract | 100 Years |
| Coronavirus furlough records | 7 Years after end of employment | No | Destroy | ResourceLink DocStore | Performance of a contract | 100 Years |

## Managerial instruction/authorisation

| **Record detail** | **Retention** | **Right to be forgotten?** | **Ist action** | **System** | **Legal basis for processing** | **PASNAS Pension** |
| --- | --- | --- | --- | --- | --- | --- |
| Transactional HR and payroll input forms (including timesheets)  | 7 Years after end of employment | No | Destroy | HR Service Now forms, paper forms, email instruction, UniWorkforce casual timesheets | Performance of a contract |  |
| Record of previous service date (for PASNAS)  | 100 years after end of employment  | No | Destroy | ResourceLink DocStore | Performance of a contract | 100 Years |
| Recording of annual leave (including statutory leave) | 7 Years after end of employment | Yes | Destroy | ResourceLink | Performance of a contractCompliance with legal obligations  |  |
| Unpaid leave periods  | 7 Years after end of employment | No | Destroy | ResourceLink | Performance of a contract | 100 Years |
| Recording sickness absence data  | 7 Years after end of employment  | No | Destroy | ResourceLink DocStore | Performance of a contract | 100 Years |
| Family friendly leave requests and casework correspondence | 7 Years after end of employment | Yes 18 months after leave finishes following childbirth or adoption | Destroy | ResourceLink DocStore and HR Service Now Forms | Compliance with legal obligations Performance of a contract |  |
| Recording maternity, adoption, paternity, parental leave and shared parental leave  | 7 Years  | Yes, three years after the end of the tax year in which maternity ends | Destroy | ResourceLink | Compliance with legal obligations | 100 Years |
| Working Time opt outs | 7 years after end of employment | No | Destroy | ResourceLink DocStore | Regulations 5,9 Working Time Regulations 1998 |  |

## Employee relations

| **Record detail** | **Retention** | **Right to be forgotten?** | **Ist action** | **System** | **Legal basis for processing** |
| --- | --- | --- | --- | --- | --- |
| Employee Relations casework eg disciplinary, capability, grievance data etc) | Detailed in individual case | Yes, but not before expiry of sanction (varies on sanction) | Destroy | Database | Compliance with legal obligations  |
| Trade Union Agreements; Trade Union DOCAS document; Trade Union Facilities Time Agreement | 10 years after ceasing to be effective | N/A | Destroy | SharePoint | Performance of a contract |

## AskHR

| **Record detail** | **Retention** | **Right to be forgotten?** | **Ist action** | **System** | **Legal basis for processing** |
| --- | --- | --- | --- | --- | --- |
| Managing HR queries  | 7 Years after end of employment | Yes, but may depend on type of query  | Destroy | HR Service Now Forms/Outlook | Performance of a contract |

## Training and development

| **Record detail** | **Retention** | **Right to be forgotten?** | **Ist action** | **System** | **Legal basis for processing** |
| --- | --- | --- | --- | --- | --- |
|  |  |  |  |  |  |
| Probation records | 7 Years after end of employment | No | Destroy | ResourceLink DocStore | The employer’s legitimate interests |
| Training records | 7 years after end of employment | Yes – minimum one year after attending training | Destroy | ResourceLink DocStore, training database and other third-party providers | The employer’s legitimate interests |

## International HR

| **Record detail** | **Retention** | **Right to be forgotten?** | **Ist action** | **System** | **Legal basis for processing** | **PASNAS Pension** |
| --- | --- | --- | --- | --- | --- | --- |
| UK based contracts of employment | 7 Years after end of employment  | No | Destroy | eRecruit and ResourceLink DocStore  | Compliance with legal obligationsPerformance of a contract  | 100 Years |
| Non-UK based contracts of employment | 7 Years after end of employment | No | Destroy | Local recruitment database and ResourceLink DocStore  | Compliance with legal obligationsPerformance of a contract  |  |
| Data on family and children of UoS employees  | 7 years after end of employment | Yes after 2 years | Destroy | SharePoint and CLARITY (travel management) | Performance of a contract  |  |

## HR Reporting

| **Record detail** | **Retention** | **Right to be forgotten?** | **Ist action** | **System** | **Legal basis for processing** |
| --- | --- | --- | --- | --- | --- |
| Bespoke reporting for:* Statutory returns
* External salary and benchmarking surveys
* Internal business intelligence reporting
* HESA returns
 | 2 years after date report run | Yes | Destroy | COGNOS and ResourceLink | May vary, depending on why the report was commissioned but likely to be related to:* Compliance with legal obligations
* Performance of a contract
* The employer’s legitimate interests
 |
| Pre-set reports available in system* Statutory returns
* External salary and benchmarking surveys
* Internal business intelligence reporting
* HESA returns
 | 2 years after date report run | Yes | Destroy | COGNOS, ResourceLink and eRecruit | May vary, depending on why the report was commissioned but likely to be related to:* Compliance with legal obligations
* Performance of a contract
* The employer’s legitimate interests
 |
| Bespoke (burst) reports available on request for internal business intelligence reporting | 2 years after date report run | Yes | Destroy | COGNOS | May vary, depending on why the report was commissioned but likely to be related to:* Compliance with legal obligations
* Performance of a contract
* The employer’s legitimate interests
 |

## Reward and benefits

| **Record detail** | **Retention** | **Right to be forgotten?** | **Ist action** | **System** | **Legal basis for processing** |
| --- | --- | --- | --- | --- | --- |
| Benefits provided by third party providers | Duration of the ‘contract’ between the individual and the service provider | Yes | Destroy | SharePoint  | Performance of a contract and/or consent |
| Job Evaluation Panels | 1 month after panelAnonymised records retained for 5 years | Yes | Destroy | SharePoint | Compliance with legal obligations |

## Reward and Recognition

| **Record detail** | **Retention** | **Right to be forgotten?** | **Ist action** | **System** | **Legal basis for processing** |
| --- | --- | --- | --- | --- | --- |
| Recording appraisal or performance data | 7 Years after end of employment | No | Destroy | ResourceLink DocStore | The employer’s legitimate interests |
| Academic Promotions (unsuccessful candidates)  | 6 months | Yes | Destroy | eRecruit and SharePoint | Performance of a contractThe employer’s legitimate interests |
| Academic Promotions (successful candidates)  | 7 Years after end of employment | No | Destroy | eRecruit and DocStore | Performance of a contract |

## Visitor records

| **Record detail** | **Retention** | **Right to be forgotten?** | **Ist action** | **System** | **Legal basis for processing** |
| --- | --- | --- | --- | --- | --- |
| Details held on system  | 12 months after cessation of work | Yes, but would prevent UoS from providing buildings and systems access and thus prevent engagement | Destroy | Visitor IDM and ResourceLink | Consent |

## Payroll and Pension

| **Record detail** | **Retention** | **Right to be forgotten?** | **Ist action** | **System** | **Legal basis for processing** |
| --- | --- | --- | --- | --- | --- |
| Payroll wage/salary records including overtime, bonus, expenses  | 7 Years after end of employment | No | Destroy | ResourceLink | Compliance with legal obligations |
| Personal pay history (payslips) | 7 Years after end of employment | No | Destroy | ResourceLink MyView | Performance of a contract |
| Statutory sick pay forms (e.g. SSP1) | 7 Years | No | Destroy | ResourceLink DocStore | Compliance with legal obligations |
| Pensionable pay at leaving, reckonable service for pension purpose | 7 Years | No | Destroy | ResourceLink | Performance of a contract |
| Bank details  | 7 years after end of employment | Yes – minimum 3 months after leaving (to enable payments after leaving if necessary) | Destroy | ResourceLink | Performance of a contract |
| Overpayment documentation | 7 years after repayment or write off | No | Destroy | ResourceLink DocStore | Legitimate interests |
| Termination of employment eg resignation, early retirement, severance or death in service | 7 Years after end of employment | No | Destroy | ResourceLink DocStore | Performance of a contract |
| Redundancy details, payment calculations, refunds, notification to Secretary of State | 7 Years after end of employment  | No | Destroy | ResourceLink DocStore | Performance of a contract |
| Tax, National Insurance, Court orders, Child Maintenance Service, Student Loans etc. | 7 tax years after end of employment repayment | Yes | Destroy | ResourceLink DocStore | Compliance with legal obligations |
| Advance for season ticket, bicycle loan, car loan | 7 Years after end of employment repayment | Yes | Destroy | ResourceLink DocStore | Performance of a contract |
| Pensions details for an individual in PASNAS Pension | 100 years after leaving employment  | No | Destroy | ResourceLink DocStore | Performance of a contract |
| Nominated beneficiary details | 7 Years after end of employment.PASNAS Pension scheme 100 years after leaving employment | Yes | Destroy | ResourceLink  | Compliance with legal obligations |
| PASNAS AVCs | 100 years after leaving employment | No | Destroy | ResourceLink | Performance of a contract |
| PASNAS Reward and benefit details for individual | 100 years after leaving employment | No | Destroy  | ResourceLink | Performance of a contract |
| PASNAS Pensions estimate requests | Retirement | No | Destroy | ResourceLink DocStore | Performance of a contract |
| PASNAS Annual and triennial benefit statements | Retirement | No | Destroy | ResourceLink | Performance of a contract |
| PASNAS Pensions choice declaration | 100 years after leaving employment | N0 | Destroy | ResourceLink DocStore | Performance of a contract |
| PASNAS expression of wish | Death or retirement  | No | Destroy | ResourceLink DocStore | Performance of a contract |