

## **What should be kept**

### **Main staff file held by a School's HR Service/Within School Personal File**

A staff file should contain information relating to initial recruitment and checks, then any information or decisions that affect the employment terms and conditions, i.e. the employment history and/or pay and pensions. A HR File could include:

- New starter information including application form, references, ID requirements, qualifications, evidence of continuous service, evidence of right to work in the UK etc.
- Completed induction and probation documents.
- HMRC information including tax, national insurance, and salary sacrifice arrangements.
- Voluntary pay and benefits (e.g. car loan, credit union, bhsf etc).
- Changes in terms and conditions of employment, for example:
  - new post/ appointment.
  - permanent or temporary changes in working hours/ arrangements/ location.
  - any changes to pay and benefits.
- Pension information.
- Maternity/ Paternity/ Adoption/ Parental leave and pay arrangements.
- Sickness absence and pay records and certificates.
- Health and safety, including accident/ incident whilst at work.
- Training and development.
- Outcomes from formal processes such as disciplinary, grievance, dignity at work, capability etc. This does not include the investigation files/ notes which would be held separately by HR/ Audit. These will be held in accordance with policy requirements and the retention schedule (e.g. disciplinary warnings).
- Redundancy details and calculations of payments.
- Leaver information.

The school may have some of the above, but they should ensure their HR provider/holder of the main HR file get updates and documentation relating to changes to pay and conditions.

### **Supervision records are kept separately by line manager/school and will include:**

- Induction and probationary information.
- PDR / Performance management records.
- Other supervision notes.
- Informal outcomes, action plans etc. from formal HR processes (e.g. capability, disciplinary, dignity at work).
- Annual leave and flexitime records.
- Sickness absence management.
- Risk assessments.
- Training and development.

NB Where any of the information in the supervision file is relevant to an employee's terms and conditions of employment or their pay and benefits this should be retained on the main staff file/sent to HR service provider. Line Managers must not keep personal notes, unsubstantiated criticisms or comments related to an employee's protected characteristic (as defined in the Equality Act 2010). This could constitute bullying, harassment or discriminatory conduct and may lead to disciplinary action.

### **Identity and Employment Checks Documentation**

Details of DBS checks and copies of birth certificates do not generally need to be kept any longer than 6-12 months unless there is some sort of dispute. A record that the checks were completed satisfactorily and the outcome, i.e. allowed to work, does need to be kept as part of HR File.

### **What happens to a file when a staff member leaves?**

- Main file: When the staff member leaves the main file is kept for termination date ± 6 years as a minimum or 25 years if they worked unsupervised with children (most school staff). If they use Solihull MBC HR, ideally they would send anything relevant to T&Cs/Pay to be stored/combined with the HR file we hold for them here, but some time ago a decision was made by HR that should not happen as they did not want to deal with them and schools need to therefore remain responsible for anything they hold for the full retention.
- Line manager/supervision file: Performance/PDR records for current employees need not be held for longer than 2 years unless relevant to an on-going formal management process. If the employee moves within the council/school then the line manager should remove non-current information from the file and send the remainder of the file to the new manager within 30 days of the employee leaving the previous post. Supervision/ PDR files for leavers may be destroyed securely after six months of the employment end date (for purposes of mitigating any risk of possible employment tribunal).

**'GUIDANCE ON THE HANDLING, PROCESSING AND RETENTION OF HR AND EMPLOYMENT RELATED INFORMATION'.**