

Surrey County Council Human Resources and Organisational Development Retention Schedule

| Ref No | Description | Legal Basis | Retention | Action at End of Retention | Contains Personal Information? | Protectively Marked? | Notes/Access |
|---------------|--|---------------------------------|---|----------------------------|--------------------------------|-------------------------|---|
| HRO1.0 | Strategy | - | - | - | - | - | - |
| HRO1.0.1 | Staff Questionnaires | - | Date of questionnaire + 6 years | Secure Disposal | Yes | Official | - |
| HRO1.0.2 | Industrial Action Monitoring | - | Last Action + 6 years | Secure Disposal | Yes | Official | - |
| HRO1.0.3 | Information relating to terms and conditions of employment | - | Date terms and conditions superseded + 6 years | Offer to History Centre | No | Not Protectively Marked | - |
| HRO1.0.4 | SCC Employment Policies | Limitation Act 1980 (Section 2) | Date policy superseded + 6 years | Offer to History Centre | No | Not Protectively Marked | - |
| HRO1.0.5 | Employment Guidance for Managers and Staff | Limitation Act 1980 (Section 2) | Date guidance superseded + 6 years | Secure Disposal | No | Not Protectively Marked | - |
| HRO1.0.6 | Surrey County Council Terms and Conditions Manual | Limitation Act 1980 (Section 2) | Each copy will supersede the preceding one; but a copy of each version should be held as an archive copy so that if necessary the terms and conditions in operation at any given time can be proved | Secure Disposal | No | Not Protectively Marked | - |
| HRO1.0.7 | Politically Restricted Posts List | Limitation Act 1980 (Section 2) | Each copy of the list will supersede the preceding one; but a copy of each version should be held as an archive copy so that if necessary the politically restricted posts in operation at any given time can be proved | Secure Disposal | No | Not Protectively Marked | - |
| HRO1.0.8 | Trade Unions (Recognition, Facilities and Membership) | Limitation Act 1980 (Section 2) | Last Action + 6 years then review | Secure Disposal | No | Official | - |
| HRO1.0.9 | Employment Policy: Employment Value Proposition (EVP) | - | Last Action + 6 years | Secure Disposal | Yes | Official | - |
| HRO1.0.10 | SCC Workforce Staffing data - SAP output with all staffing information for workings/manipulations | - | Last Action + 6 years | Secure Disposal | Yes | Official | - |
| HRO1.0.11 | SCC Workforce Sickness data - SAP Outputs with all staff sickness information for workings/manipulations | - | Last Action + 6 years | Secure Disposal | Yes | Official | - |
| HRO1.0.12 | SAP Outputs of Starter and Leaver information - SCC Workforce Starter/Leaver Data | - | Last Action + 6 years | Secure Disposal | Yes | Official | - |
| HRO1.0.13 | Project plan, agendas, minutes and papers relating to Health and Wellbeing Group meetings | - | Date of meeting + 4 years | Secure Disposal | No | Not Protectively Marked | - |
| HRO1.0.14 | OH&EAP reports linked to employee profile. | - | Last Action + 6 years | Secure Disposal | Yes | Official | Added on request of DB&I Team 27/10/20. |
| HRO2.0 | Personnel Management | - | - | - | - | - | - |

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| HR2.0.1 | Records relating to the monitoring of employee absence | - | Last Action + 1 year | Secure Disposal | Yes | Official | - |
| HR2.0.2 | Sickness Absence Monitoring - monthly reports | - | Last Action + 1 year | Secure Disposal | Yes | Official | - |
| HR2.0.3 | Non Schools Case Work - Performance and Capability | Limitation Act 1980 (Section 2) | Last Action + 6 years | Secure Disposal | Yes | Official | - |
| HR2.0.4 | Personnel Tribunal | Limitation Act 1980 (Section 2) | Last Action + 6 years | Secure Disposal | Yes | Official | - |
| HR2.0.5 | Non-Schools Casework: Disciplinary where the case results in dismissal | Limitation Act 1980 (Section 2) | Last Action + 6 years | Secure Disposal | Yes | Official | - |
| HR2.0.6 | Non-Schools Casework: Disciplinary where the case results in no case to answer | | The records must be destroyed at the conclusion of the investigation | Secure Disposal | Yes | Official | - |
| HR2.0.7 | Records relating to employment tribunal | The Employment Tribunals (Constitution and Rules of Procedure) (Amendment) Regulations 2008; Limitation Act 1980 (Section 2) | Last Action + 6 years | Secure Disposal | Yes | Official | - |
| HRO2.0.8 | First warning – Issued by line manager/senior manager, with a right of appeal to next level of management | People Management Handbook Section N – N22 | Date of warning + 6 months [This period could be extended if required to be used for evidence to show that the employee was made aware of the seriousness of previous behaviour] | Secure Disposal | Yes | Official | - |
| HRO2.0.9 | Second warning – Issued by line manager/senior manager, with a right of appeal to the next level of management | People Management Handbook Section N – N22 | Date of warning + 12 months [This period could be extended if required to be used for evidence to show that the employee was made aware of the seriousness of previous behaviour] | Secure Disposal | Yes | Official | - |
| HRO2.0.10 | Final warning – Issued by Executive Director, or delegated manager, with a right of appeal to Executive Director or Chief Executive if issued by Executive Director | People Management Handbook Section N – N22 | Date of warning + 18 months [This period could be extended if required to be used for evidence to show that the employee was made aware of the seriousness of previous behaviour] | Secure Disposal | Yes | Official | - |
| HRO2.0.11 | Non Schools Casework - Grievance procedure | Limitation Act 1980 (Section 2) | Date grievance resolved + 6 years | Secure Disposal | Yes | Official | - |
| HRO2.0.12 | Records created by the mediation service offered by Employee Support relating to the mediation process | - | Last Action + 1 year | Secure Disposal | Yes | Official | - |
| HRO2.0.13 | Non Schools Casework - Harassment | Limitation Act 1980 (Section 2) | Date case resolved + 6 years | Secure Disposal | Yes | Official | - |
| HRO2.0.14 | Complaints against members of staff (not the principal copy) | | Complaint resolved | Secure Disposal | Yes | Official | - |

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| HRO2.0.15 | Financial and non-financial officer interests that could conflict with the County Council's interest | Local Government Act 1972 | Termination of employment + 1 year | Secure Disposal | Yes | Official | - |
| HRO2.0.16 | Pre-Employment Health Questionnaires | Limitation Act 1980 (Section 2) | Date of questionnaire + 7 years | Secure Disposal | No | Official - Sensitive | - |
| HRO2.0.17 | Health Referral files | - | Date of birth + 85 years - are microfilmed annually and retained in fiche format | Secure Disposal | Yes | Official - Sensitive | - |
| HRO2.0.18 | Health Surveillance forms | - | Date of questionnaire + 40 years - The questionnaires are completed annually. The forms relating to employees who no longer work for SCC are microfilmed. | Secure Disposal | Yes | Official - Sensitive | - |
| HRO2.0.19 | Food Handling Questionnaires | - | Date of questionnaire + 7 years | Secure Disposal | Yes | Official - Sensitive | - |
| HRO2.0.20 | Training concerning occupational health and safety training – register | - | Training completed + 50 years | Secure Disposal | Yes | Official | - |
| HRO2.0.21 | Training concerning occupational health and safety – individual course assessment records | - | Date of training + 3 years | Secure Disposal | Yes | Official | - |
| HRO2.0.22 | Personal Files records relating to an individual's employment history | - | Termination of employment + 6 years then review | Secure Disposal | Yes | Official | - |
| HRO2.0.23 | Personal files maintained by managers for the purpose of managing individual members of staff | - | Termination of employment | Secure Disposal | Yes | Official - Sensitive | - |
| HRO2.0.24 | Appraisal documentation held by individual members of staff | - | Last Action + 1 year | Secure Disposal | Yes | Official | - |
| HRO2.0.25 | Supervision notes relating to social care case supervision | Limitation Act 1980 (Section 2) | Termination of employment + 6 years | Secure Disposal | Yes | Official - Sensitive | - |
| HRO2.0.26 | Medical certificates presented in line with sickness reporting procedures - A copy of medical certificates should be kept by the line manager. They form part of the records for Statutory Sick Pay | People Management Handbook | Tax year to which they relate + 3 years | Secure Disposal | Yes | Official - Sensitive | - |
| HRO2.0.27 | Flexi Time Sheets | - | Last Action + 2 years | Secure Disposal | | Official | - |
| HRO2.0.28 | Next of Kin information held | - | Termination of employment of employee to whom it relates | Secure Disposal | Yes | Official | - |
| HRO2.0.29 | Public Transport Operator staff record forms including DBS certificates | - | Until a suitability decision is made, not exceeding 6 months | Secure Disposal | Yes | Official | - |
| HRO2.0.30 | My Benefits: Statistical Analysis | - | Last Action + 10 years | Secure Disposal | No | Not Protectively Marked | - |

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| HRO2.0.31 | Teachers Salary Forms | - | Last Action + 1 year | Secure Disposal | Yes | Official | - |
| HRO2.0.32 | Pay / Allowances Data | - | Last Action + 9 years | Secure Disposal | No | Not Protectively Marked | - |
| HRO2.0.33 | Local Government Pensions Scheme (LGPS) Pensions Data | Limitation Act 1980 (Section 2) | Date that case is resolved + 6 years | Secure Disposal | Yes | Official | - |
| HRO2.0.34 | Equalities Data (EqIA / Equal Pay Data etc.) | - | Last Action + 5 years | Secure Disposal | Yes | Official | - |
| HRO2.0.35 | Salary Sacrifice Schemes | HMRC - Compliance Handbook Manual CH15400 | Last Action + 6 years | Secure Disposal | Yes | Official | - |
| HRO2.0.36 | Job Evaluation Database/Benchmarking etc. | - | Last Action + 5 years | Secure Disposal | No | Not Protectively Marked | - |
| HRO2.0.37 | Staff Awards: Nomination, judging and winners staff information, procedure and guidance information | - | Last Action + 6 years | Secure Disposal | Yes | Official | - |
| HRO2.0.38 | Information used to compile staff directories | - | Operational Use | Secure Disposal | No | Not Protectively Marked | - |
| HRO2.0.39 | Reward Strategy | - | Last action on file + 5 years then review | Offer to History Centre | No | Not Protectively Marked | - |
| HRO2.0.40 | Investors in People | - | Last action on file + 5 years then review | Offer to History Centre | No | Not Protectively Marked | - |
| HRO2.0.41 | Redundancies | - | Date of birth of the individual made redundant + 80 years | Secure Disposal | Yes | Official - Sensitive | - |
| HRO2.0.42 | People transferred out | - | Last Action + 6 years | Secure Disposal | Yes | Official | - |
| HRO3.0 | Recruitment | - | | | | | - |
| HRO3.0.1 | Records relating to job evaluation | - | Date job evaluation completed + 6 years | Secure Disposal | No | Not Protectively Marked | - |
| HRO3.0.2 | Records relating to employee induction | - | Date induction ends + 6 months then review | Secure Disposal | Yes | Official | - |
| HRO3.0.3 | Job Profiles and Person Specifications | Limitation Act 1980 /Sex Discrimination Act 1975 + 1986 / Race Relations Act 1976 | Date Job Profile/Person Specification superseded + 6 years | Secure Disposal | No | Not Protectively Marked | - |
| HRO3.0.4 | The selection of an individual for an established position | - | Recruitment finalised + 1 year | Secure Disposal | Yes | Official | - |
| HRO3.0.5 | Recruitment and Selection – records relating to the process concerning unsuccessful candidates | - | Date of interview + 6 months | Secure Disposal | Yes | Official | - |
| HRO3.0.6 | Disclosure and Barring Service (DBS) checks | - | The certificate is the property of the person who has been checked, but the employer can take a copy and put it on an individual's file. The organization making the check should not take copies of documents but inspect the original documents provided by the person who is being checked | Secure Disposal | Yes | Official | - |

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| HRO3.0.7 | Copy documentation taken as part of right to work evidence | https://www.gov.uk/check-job-applicant-right-to-work | Date of termination of employment + 2 years | Secure Disposal | Yes | Official | - |
| HRO4.0 | Training | - | | | | | - |
| HRO4.0.1 | Data, reports and information relating to Directorate and Service Training Plans | - | Last Action + 3 years then review | Secure Disposal | No | Not Protectively Marked | - |
| HRO4.0.2 | Staff training records - general | - | Last Action + 2 years | Secure Disposal | Yes | Official | - |
| HRO4.0.3 | Spreadsheets monitoring training provision | - | Operational use | Secure Disposal | Yes | Official | - |
| HRO4.0.4 | Training (proof of completion such as certificates, awards, exam results) | - | Last action + 7 years | Secure Disposal | Yes | Official | - |
| HRO4.0.5 | Course information - flyers, attendance lists, joining instructions, emails, application forms/booking forms | - | Last Action + 3 years | Secure Disposal | Yes | Not Protectively Marked | - |
| HRO4.0.6 | Course Cancellation Monitoring - Monthly reports | - | Last Action | Secure Disposal | No | Not Protectively Marked | - |
| HRO4.0.7 | Checklist Diaries and Paper Venue Diaries - Details of courses arranged and checklist for follow-up checks | - | Last Action | Secure Disposal | No | Not Protectively Marked | - |
| HRO4.0.8 | Details of courses commissioned | Limitation Act 1980 (Section 2) | Last Action + 6 years | Secure Disposal | No | Not Protectively Marked | - |
| HRO4.0.9 | Interpreter booking forms | - | Last Action + 1 year | Secure Disposal | Yes | Official | - |
| HRO4.0.10 | Moving and Handling Forms - Moving and Handling Competency Forms | - | Last Action + 3 years | Secure Disposal | Yes | Not Protectively Marked | - |
| HRO4.0.11 | All records relating to the development of the information governance and records management E-Learning modules. | - | Retain until superseded by version after next | Secure Disposal | No | Not Protectively Marked | - |
| HRO4.0.12 | Training (materials) | - | Date of course + 1 year | Secure Disposal | Yes | Not Protectively Marked | - |
| HRO4.0.13 | Training packages developed for use within different Directorates and Services | - | It is expected that these will be dynamic packages, where appropriate one copy should be kept each the time the package is changed | Offer to History Centre | No | Not Protectively Marked | - |
| HRO4.0.14 | Training Statistics | - | Last Action + 5 years | Secure Disposal | No | Not Protectively Marked | - |
| HRO4.0.15 | Training concerning Children | - | Training completed + 35 years | Secure Disposal | Yes | Not Protectively Marked | - |
| HRO4.0.16 | Continuing Professional Development records relating to the Education Psychology Service | - | Last Action + amount of time required by the professional body | Secure Disposal | Yes | Official | - |

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| HRO4.0.17 | Continuing Professional Development records relating to the Specialist Teaching Service | - | Last Action + the amount of time required by the professional body | Secure Disposal | Yes | Official | - |
| HRO4.0.18 | Sports Development Unit: Application Forms for courses [Coaches or Volunteers] | - | Date training completed + 3 years | Secure Disposal | Yes | Official | - |
| HRO4.0.19 | Trading Standards provide petrol forecourt training for its own officers and those from other authorities. | - | Expiry of passport + 6 months | Secure Disposal | Yes | Official | - |
| HRO4.0.20 | Adult Social Care – Training and Development – Course files | - | Last Action + 5 years then review | Secure Disposal | No | Not Protectively Marked | - |
| HRO4.0.21 | Adult Protection Reporting - Course information, checklists, handouts, certificate and evaluation templates, attendance sheets, venue booking info, guidelines for attending training | - | Last Action + 3 years | Secure Disposal | Yes | Not Protectively Marked | - |
| HRO4.0.22 | Carers Awareness Training for Health and Social Care Professionals - Event attendance lists | - | Last Action + 3 years | Secure Disposal | Yes | Not Protectively Marked | - |
| HRO4.0.23 | Child Protection Awareness Waiting Lists - List of staff unable to gain places | - | Last Action + 3 years | Secure Disposal | Yes | Not Protectively Marked | - |
| HRO4.0.24 | Mental Capacity Act Training Courses - Training course information, flyers, application form, joining instructions, delegate lists, evaluation results, handouts and all associated information | - | Last Action + 3 years | Secure Disposal | Yes | Not Protectively Marked | - |
| HRO4.0.25 | Mental Health staff course applications and attendance | - | Last Action + 3 years | Secure Disposal | Yes | Not Protectively Marked | - |
| HRO4.0.26 | Public Transport Operator: staff training lists | - | Last Action | Secure Disposal | Yes | Official | - |