Human Resources Records

About this policy

Summary

This chapter describes the policy for recording and storing of personal information on personnel records. Refer to the table of contents, below, for a full list of topics covered.

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Version control

The table below shows the history of the document and the changes that were made at each version:

Version	Date	Summary of changes
1.0	August 2008	First published version.
2.0	October 2009	'Copy of Passport' added to Section 4

Version	Date	Summary of changes
3.0	October 2015	Update from TLT to HLT, addition of guidance on Single Central Record and removal of links to Trustnet.
4.0	March 2019	Update due to GDPR 2018

Distribution

This policy is available on The Learning Trust's Website.

1. Introduction

The following is guidance for HR, Headteachers and managers on the appropriate recording of staff information and personal information on personnel records.

2. Single Central Record

Schools and colleges must keep a single central record, referred to in the relevant regulations as the register. The single central record must cover the following people:

• all staff (including supply staff, volunteers and teacher trainees on salaried routes) who carry out regulated activity at the school: in colleges, this means those providing education to children; and

• for independent schools, including academies and free schools, all members of the proprietor body.

The information that must be recorded in respect of staff members (including teacher trainees on salaried routes) is whether the following checks have been carried out or certificates obtained, and the date on which each check was completed/certificate obtained:

• an identity check;

• a barred list check;

• an enhanced DBS check/certificate;

• a prohibition from teaching check;

• a check of professional qualifications:

• further checks on people living or working outside the UK;

• a check to establish the person's right to work in the United Kingdom.

For supply staff, schools should also include whether written confirmation that the employment business supplying the member of supply staff has carried out the relevant checks.

Please use the Single Central Record Template which can be found on the HLT website.

3. Personnel files

The employee's personnel file is a record of the transactions that take place between the individual and their employer. The employee has the right to see what is on their file, so it is very important that the information it contains is accurate and factual. The items which should be included on the personal file are listed below. There are some items which should not appear on the personal file and these are also listed. Some of these items should not be held at all, particularly if they contain false or libellous statements (unless they are to be used as evidence in connection with disciplinary action against the author).

Documents relating to unsuccessful applicants should be kept for a period of 6 months. Staff files should be kept for a period of 5 years from the date the employee left.

4. Other records and documentation

There are a number of other documents that do need to be held on other files. These files are:

4.1 Files held by the Line Manager/Headteacher

(See the separate listing on page 8 that outlines what should be included.)

4.2 Disciplinary and Grievance Case Files

All papers forming a part of an investigation which might lead to disciplinary action should be kept in the case file and held securely.

4.3 Employment Tribunal Case Files

The HR Business Partner will provide advice on what action to take in relation to the Employment Tribunal. They will also advise on what information needs to be retained on a separate Employment Tribunal case file. HR is the custodian of any Employment Tribunal file for future reference purposes.

5. Items that should be held in personal files

The New Starter checklist should be completed and stored on the file. Note that the following is not an exhaustive list.

Recruitment Papers

- Vacancy Requisition Form.
- Advert.
- Job Description and Personnel Specification.

- Application Form.
- New starter or transfer/promotion check list.
- Invitation to interview.
- Interview notes and any tests/presentations.
- Post Interview Confirmation of Employment Form.
- Contract of Employment.
- References.
- Copy of passport to prove the right to work in the UK (this applies to all new employees and should be signed and dated by the person who checked it).
- Confirmation of previous service details.
- Medical clearance.
- Enhanced DBS
- Offer of Appointment.
- Statement of Particulars.
- Appointment acceptance slip.
- Relocation expenses details (if applicable).
- All work permit papers (if applicable).
- Proof of Qualified Teacher Status (if applicable).
- Licensed Teacher Scheme documentation (if applicable).
- Notice of Engagement.

Details of Financial Commitments

- Car/bicycle loans, season ticket loans (if applicable).

Related nationally negotiated conditions

Probation (where applicable)

- Induction checklist and probation reports.
- Copies of all the probation forms.
- Related correspondence.
- Letter confirming extension/completion of probation.

Statement of Particulars

- Extension of temporary contracts.
- Acceptance slip.
- Amended contracts.

Training

- Reports.
- Details of non-attendance.

Discipline/Grievance

- Notice of Complaint/Grievance form.
- Decision letter (if Statement of Complaint/Grievance is upheld).
- Clear indication of penalty and when this is to be removed from the file.
- The personal file should clearly indicate if the individual has been dismissed.

Capability

- Correspondence sent to the individual in relation to action taken under the Capability Procedure.
- Notification of findings of formal stage.

Notification of Change of Address

Notification of External Interest

- As required under the Code of Conduct.

Special Leave Applications

- Paid or unpaid leave and related correspondence.

Flexi Leave

- Correspondence in relation to the operation of and/or withdrawal of flexi-time arrangements.

Appraisal

- Six monthly and annual staff review and development forms.

Other Information

- Information that may be used for Review meetings or at an Employment Tribunal.

Resignation

- Letter of resignation and reply.
- Notice of leaving.
- Correspondence with new employer and DSS.

Sickness Record

- Medical certificates and self certificates.
- All medical correspondence to and from OHS.
- Copies of letters to the employee in relation to the procedures.

Correspondence with the employee on any of the above

6. Items not for inclusion on the personal file

Records of **informal discipline** (these records should be held by the Manager) unless covered under general background information necessary for an Employment Tribunal.

Details of any evidence used at Disciplinary/Grievance Hearing apart from the Notice of Complaint/Grievance form and decision letter. The Hearing officers' (Panel Members') and the HR Advisers' notes should be kept on the Disciplinary file as they may be required by Legal Services at an Employment Tribunal. (This information should be held in a separate case file.)

7. Managers' files on individuals

There are a number of circumstances in which it is appropriate for managers to keep **management files** on their individual staff. These files are confidential documents which are the responsibility of the appropriate manager. Any documents on these files should only be released to any other individual after consultation with HR.

- Course applications and attendance.
- Sickness monitoring information.
- Agreed workplans, targets, etc.
- Copies of approval of leave/special leave records.
- Record of informal action taken under the Capability policy.
- Record of informal Disciplinary action.
- Record of action with regard to the flexi-time procedures/time keeping.
- Appraisal records.

Other confidential records in relation to information the individual provides to the manager that may require a specific and immediate response, e.g. health considerations, domestic violence issues, etc.

Correspondence with the employee on any of the above.

8. Access to personal files

A member of staff should book an appointment two days in advance with Senior Administrative Officer or Business Manager to access their personal files.

The following also have access to personal files:

- All Human Resources staff.
- Relevant managers.
- Directors.
- Legal Services.
- Internal Audit.
- Trade Union representative, if accompanied by the individual or if that individual has given Human Resources explicit written permission.

Two days written notice using the Request to Access Employee's Personnel File Form should be given by anyone who is authorised to consult a specific personal file.