

## Records Retention Schedule

The Records Retention Schedule is a list of records managed and retained as part of business, research and academic activities at King's. Alongside each entry is an indication of how long the record should be kept; most records will ultimately be destroyed or deleted although the schedule also identifies records suitable for transfer to Archives & Research Collections for long term preservation.

The retention schedule supports the efficient management of records in all formats, both paper and digital, and promotes consistent practice by ensuring similar types of records are kept for the same amount of time, no matter where in the university they are held. The schedule also underscores compliance with legislative record keeping requirements including UK GDPR (General Data Protection Regulation and the Data Protection Act 2018) and the Code of Practice on the management of records issued under Section 46 of the Freedom of Information Act 2000.

### I. How are retention rules set?

Retention rules for all university records are set according to legal, regulatory and business requirements and best practice across the HE sector. The retention schedule includes recommendations from Jisc (formerly the Joint Information Systems Committee) and is benchmarked against retention policies at comparable institutions including other Russell Group universities, the NHS, the National Archives and the Information Commissioner's Office. The schedule is maintained by Corporate Records Management and approved by University Executive.

### II. How to use the retention schedule

An eight-column layout provides:

- a *reference* number for each record
- a *description* for each record
- the name of the department with *responsibility* for management of the record
- the *legal reference* (where applicable) citing any statutory or regulatory requirement that underscores the retention rule
- the *retention rule*, the number of years a record should be retained within a department before it is destroyed or deleted
- *archive*, confirmation of whether the record is suitable for transfer to [King's College London Archives](#). This is for records with permanent historical, research or business value to the university.
- *classification* reflects intended dissemination of university information in line with the [Information Classification Procedures](#):
  - External – intended to reach the widest possible audience
  - Internal – intended to reach staff and students
  - Restricted – intended for use by a limited group of users
  - Highly restricted – for use by a strictly defined group of users
- Additional *notes* to help manage the record.

This section of the retention schedule was last updated in **August 2023**. The schedule will be regularly reviewed to reflect changes to business and legal record keeping requirements. For further information, please contact Corporate Records Management; email [records-management@kcl.ac.uk](mailto:records-management@kcl.ac.uk).

## Records Retention Schedule Section G: Human Resources

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Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.01.01	HR policies, procedures and regulations governing all staff	Human Resources	Institutional business requirements	Permanent retention	Yes	Internal	Published externally on <a href="#">Policy Hub</a> and internally on <a href="#">HR intranet</a>
<b>G.02</b>	<b>Recruitment</b>						
G.02.01	Internal authorisation for recruitment	Human Resources	Institutional business requirements	Permanent retention	No	Internal	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.02.02	Vacancy advertisements	Human Resources	Institutional business requirements	Permanent retention	No	External	
G.02.03	Unsuccessful applicants – application form, CV and references	Human Resources	UK GDPR	Vacancy filled + 6 months	No	Restricted	
G.02.04	Successful applicants – application form, CV and references	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>
G.02.05	Shortlisting notes, interview notes and tests	Human Resources	UK GDPR	Completion of recruitment process + 6 months	No	Restricted	
G.02.06	Disclosure and Barring Services (DBS) check	Human Resources	UK GDPR	Termination of employment + 6 years	No	Restricted	
<b>G.03</b>	<b>Contract management</b>						
G.03.01	Corporate staff record See below for individual record types	Human Resources	UK GDPR Institutional business requirements	Permanent retention Core records are retained to provide evidence of employment for individuals throughout their working life. This includes provision of	Yes	Restricted	Retained permanently on HR system, People XD  Paper and digital archive storage is provided by <a href="#">Corporate Records Management</a>

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
				references and resolution of employment or pensions queries.			
G.03.02	Contract of employment	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>
G.03.03	Staff registration form	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>
G.03.04	P45 / HMRC starter checklist	Human Resources	UK GDPR	Termination of employment + 6 years	No	Restricted	
G.03.05	Equality and diversity application data	Human Resources	UK GDPR	Termination of employment	No	Restricted	
G.03.06	Personal disclosure form	Human Resources	UK GDPR	Termination of employment	No	Restricted	
G.03.07	Health and capability declaration	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>
G.03.08	Occupational health questionnaire	Human Resources	UK GDPR	Termination of employment + 6 years	No	Restricted	
G.03.09	Right to work documentation	Human Resources	Immigration, Asylum and	Termination of employment + 2 years	No	Restricted	Further guidance available from <a href="#">UK</a>

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
			Nationality Act 2006				<a href="#">Visas and Immigration</a>
G.03.10	Job description and personal specification	Human Resources	Institutional business requirements	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>
G.03.11	Disciplinary and capability proceedings	Human Resources	Limitation Act 1980 UK GDPR	Last action on case + 6 years	No	Highly restricted	
G.03.12	Formal grievances raised by staff	Human Resources	Limitation Act 1980 UK GDPR	Last action on case + 6 years	No	Highly restricted	
G.03.13	Tribunal case files	Human Resources	Limitation Act 1980 UK GDPR	Last action on case + 6 years	Yes	Highly restricted	Retain within HR for retention period then transfer to <a href="#">Corporate Records Management</a>
G.03.14	Contractual and pay changes	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>
G.03.15	Promotion, regrading or secondments	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.03.16	Statutory sickness pay calculations and certificates	Payroll & Pensions	UK GDPR	Termination of employment + 6 years	No	Restricted	
G.03.17	Statutory maternity or shared parental leave pay calculations and certificates	Payroll & Pensions	UK GDPR	Termination of employment + 6 years	No	Restricted	
G.03.18	Absence – parental leave, unpaid leave, sabbatical, study leave, career break	Faculties and Departments	UK GDPR	Termination of employment + 6 years	No	Restricted	
G.03.19	Emeritus appointments	Human Resources Faculties and Departments	UK GDPR	Permanent retention	Yes	Restricted	Further information available on HR <a href="#">internal pages</a>
G.03.20	Visiting appointments	Human Resources Faculties and Departments	UK GDPR	Permanent retention	Yes	Restricted	Further information available on HR <a href="#">internal pages</a>
G.03.21	Major injuries from workplace incidents	Health & Safety	Limitation Act 1980 UK GDPR	Termination of employment + 40 years	No	Highly restricted	
G.03.22	Termination of employment –	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
	resignation, retirement, expiry of contract, redundancy, dismissal, death in service						
G.03.23	Redundancy calculations and refunds	Finance & Planning	UK GDPR	Permanent retention	Yes	Highly restricted	Part of <a href="#">corporate staff record</a>
G.03.24	References provided for employment at another institution	Human Resources	UK GDPR	Provision of reference + 1 year	No	Restricted	
<b>G.04</b>	<b>Training and development</b>						
G.04.01	Development and delivery of induction programmes	Organisation Development Faculties and Departments	Institutional business requirements	Current year + 6 years	No	Restricted	Includes <a href="#">Welcome to King's</a>
G.04.02	Individual attendance records for induction programmes	Faculties and Departments	UK GDPR	Completion of programme + 1 year	No	Restricted	
G.04.03	Analysis and summary of workforce development and training needs	Organisation Development	Institutional business requirements	Current year + 5 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.04.04	Annual list of training and development programmes	Organisation Development	Institutional business requirements	Permanent retention	Yes	Internal	
G.04.05	Statutory or regulatory role specific training	Faculties and Departments	Limitation Act 1980	Expiry of certification + 6 years	No	Restricted	
<b>G.05</b>	<b>Performance management</b>						
G.05.01	Probation documents	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>
G.05.02	Development of performance development review (PDR) programme and guidance	Human Resources	Institutional business requirements	Life of programme + 5 years	No	Internal	
G.05.03	Performance development review (PDR) forms	Line managers	UK GDPR	Current year + 5 years	No	Restricted	
<b>G.06</b>	<b>Remuneration and reward</b>						
G.06.01	Pay scales and structures	Human Resources	Institutional business requirements	Permanent retention	No	Internal	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.06.02	Individual staff salary and progression	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>
G.06.03	Recognition awards	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>
G.06.04	Clinical Excellence Award	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>
G.06.05	Supervisory Excellence Award	Centre for Doctoral Studies	UK GDPR	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>
G.06.06	Gender pay gaps reports	Equality, Diversity & Inclusion	Institutional business requirements	Current year + 5 years	Yes	Internal	Published on <a href="#">external webpages</a>
<b>G.07</b>	<b>Academic promotions</b>						
G.07.01	Successful application for academic promotion or Academic Education Pathway (AEP)	Human Resources	UK GDPR	Application documents – 6 years Notification of outcome – permanent retention as part of <a href="#">corporate staff record</a>	Yes	Restricted	
G.07.02	Unsuccessful application for academic promotion or	Human Resources	UK GDPR	Notification of outcome + 12 months	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
	Academic Education Pathway (AEP)						
G.07.03	Appointment as Professor of Practice	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Part of <a href="#">corporate staff record</a>
G.07.04	Academic Staff Committee (including Arts & Sciences and Health Panels) – agenda and minutes	Human Resources	UK GDPR	Permanent retention	Yes	Restricted	Papers retained permanently by HR
G.07.05	Personal Circumstances Panel	Human Resources	UK GDPR	End of academic promotions round + 1 year	No	Highly restricted	
G.07.06	Process review request from unsuccessful applicants	Human Resources	UK GDPR	Notification of process review outcome + 12 months	No	Restricted	
G.07.07	Academic promotion applications or reports held at Faculty level	Faculties and Departments	UK GDPR	End of academic promotions round + 6 months	No	Restricted	
<b>G.08</b>	<b>Welfare and wellbeing</b>						
G.08.01	Records documenting overtime worked by employees, including those who have agreed	Human Resources	The Working Time Regulations 1998	Last date of overtime + 2 years	No	Restricted	Further information available from <a href="#">GOV.UK</a>

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
	to work more than 48 hours per week						
G.08.02	Health assessments for night workers	Human Resources	The Working Time Regulations 1998	Completion of assessment + 2 years	No	Restricted	Further information available from <a href="https://www.gov.uk">GOV.UK</a>
G.08.03	Occupational health referrals	Human Resources	Limitation Act 1980 UK GDPR	Termination of employment + 6 years	No	Highly restricted	
G.08.04	Exit survey data	Human Resources	Institutional business requirements	Permanent retention	No	Restricted	Remove personal information and retain as anonymous dataset
G.08.05	Individual responses to staff surveys and consultations	Faculties and Departments	UK GDPR	Completion of analysis of responses	No	Restricted	
G.08.06	Anonymous summary and results of staff surveys and consultations	Faculties and Departments	Institutional business requirements	Retain for reference or reporting as required. This will be dependent on the purpose of the survey or consultation.	No	Restricted	
<b>G.09</b>	<b>Industrial relations</b>						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.09.01	Agreements with trade unions	Human Resources	Institutional business requirements	Termination of agreement + 10 years	No	Restricted	
G.09.02	Communications with trade union representatives, including minutes of meetings	Human Resources	Institutional business requirements	Current year + 20 years	No	Restricted	
G.09.03	Consultations and negotiations with trade unions on specific issues	Human Resources	Institutional business requirements	Last action on issue + 20 years	No	Highly restricted	
G.09.04	Records of industrial action	Human Resources	UK GDPR	Termination of employment + 6 years	No	Highly restricted	
<b>G.10</b>	<b>Equality, Diversity &amp; Inclusion</b>						
G.10.01	Equality, diversity and inclusion projects and self-assessments pertaining to protected characteristics	Equality, Diversity & Inclusion	The Equality Act 2010	Lifetime of project	No	Internal	Further details available on <a href="#">external webpages</a>
G.10.02	Equality, diversity and inclusion surveys – individual responses	Equality, Diversity & Inclusion	UK GDPR	Current year + 6 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.10.03	Equality, diversity and inclusion surveys – final reports	Equality, Diversity & Inclusion	Institutional business requirements	Permanent retention	No	Restricted	Retained as anonymous dataset
G.10.04	Equality, diversity and inclusion publications, including annual reports	Equality, Diversity & Inclusion	Institutional business requirements	Permanent retention	Yes	External	Annual reports are published on <a href="#">external webpages</a>
G.10.05	Award schemes – Carers’ Career Development Fund, Parent and Carer Leave Fund	Equality, Diversity & Inclusion	UK GDPR	Financial year + 6 years	No	Restricted	
G.10.06	Membership lists for community networks	Equality, Diversity & Inclusion	UK GDPR	Termination of membership	No	Restricted	Further information available on <a href="#">external webpages</a>
<b>G.11</b>	<b>King’s Search – Leadership recruitment</b>						
G.11.01	Unsuccessful candidates – application forms and CVs	King’s Search	UK GDPR	Vacancy filled + 5 years	No	Restricted	Data is part of King’s Search knowledge base and candidates may be considered for future posts

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.11.02	Successful candidates – application forms and CVs	King’s Search	UK GDPR	Permanent retention	No	Restricted	Part of <a href="#">corporate staff record</a>
G.11.03	Post advertisement or briefing document	King’s Search	Institutional business requirements	Retain for reuse as required	No	Restricted	
G.11.04	Shortlisting and interview notes	King’s Search	UK GDPR	Vacancy filled + 5 years	No	Restricted	Data is part of King’s Search knowledge base and candidates may be considered for future posts
G.11.05	References for unsuccessful candidates	King’s Search	UK GDPR	Vacancy filled + 5 years	No	Restricted	Data is part of King’s Search knowledge base and candidates may be considered for future posts
G.11.06	References for successful candidates	King’s Search	UK GDPR	Permanent retention	No	Restricted	Part of <a href="#">corporate staff record</a>
G.11.07	Candidate profiles on Invenias database	King’s Search	UK GDPR	Last interaction + 7 years	No	Restricted	
<b>G.12</b>	<b>Line managers</b>						

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.12.01	Recruitment advert or agency brief	Line manager Faculties and Departments	Limitation Act 1980	Vacancy filled + 9 months	No	External	
G.12.02	Shortlisting notes, interview notes and test results	Line manager Faculties and Departments	UK GDPR	Vacancy filled + 6 months	No	Restricted	
G.12.03	Annual leave records	Line manager	UK GDPR	Current year + 1 year	No	Restricted	
G.12.04	Sickness records	Line manager	Limitation Act 1980 UK GDPR	Termination of employment + 6 years	No	Highly restricted	
G.12.05	Occupational health reports	Line manager	Limitation Act 1980 UK GDPR	Termination of employment + 6 years	No	Highly restricted	
G.12.06	Informal grievances or complaints	Line manager Faculties and Departments	UK GDPR	Resolution of issue + 3 years	No	Highly restricted	
G.12.07	PDR forms	Line manager	UK GDPR	Current year + 5 years	No	Restricted	

Item	Record Description	Responsibility	Legal Reference	Retention Rule	Archive	Classification	Notes
G.12.08	Declaration of Interest forms	Line manager	Limitation Act 1980 UK GDPR	Expiry of interests or termination of employment + 6 years	No	Restricted	See <a href="#">Disclosure of Interest Policy</a>
G.12.09	Temporary staff – timesheets	Line manager	The Working Time Regulations 1998	Current year + 2 years	No	Restricted	
G.12.10	Temporary staff – CVs, application forms and references	Line manager Faculties and Departments	Limitation Act 1980 UK GDPR	Termination of employment + 6 years	No	Restricted	Further information on HR <a href="#">internal pages</a>