

Employee Records Management

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| Reference Number: | 175 |
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| Responsible Director: | Claire Radley Director of People |
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| Related Policies and Guidelines | <ul style="list-style-type: none"> • Appraisal Policy • Study Leave Policy |
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Amendment History

| Issue | Status | Date | Reason for Change | Authorised |
|-------|--------|-----------|-------------------|-------------------------------|
| 1.0 | Final | July 2014 | New Policy | Strategic Workforce Committee |
| 2.0 | Final | June 2018 | Planned Review | |
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1. Policy Summary

The purpose of this Policy is to provide clarification as to what information should be held by the Royal United Hospitals Bath NHS Foundation Trust (hereafter referred to as 'the Trust') on future, current and ex-employees.

This Policy relates to Agenda for Change or Medical & Dental applicants and current, past employees on substantive or bank contracts. It does not apply to Honorary Contract holders.

Information held electronically in the Employee Staff Record (ESR) system - including all payroll information such as changes to contracted hours, role etc - is outside the scope of this policy.

2. Policy Statements

As an employer the Trust has a responsibility under the Data Protection Act (2018) to ensure that all information held on its prospective, current and former staff is appropriate, not excessive, securely held, accessible and destroyed in a timely way.

This policy supports the appropriate staff records management within the Trust.

3. Definition of Terms Used

ESR – Electronic Staff Record.

4. Duties and Responsibilities

4.1. HR department

To establish, retain and oversee the storage and destruction of HR records for potential, current & ex-employees of the Trust, including temporary staff. Line Manager to securely retain an appropriate local employee file in line with the requirements of this policy.

4.2. Staffing Solutions

To securely retain an appropriate local employee file in line with the requirements of this policy.

4.3. Workforce Information

To oversee the external storage and destruction of HR files for current & ex-employees. Records will be identified for destruction in accordance with the retention schedule contained within Records Management Code of Practice for Health and Social Care 2016.

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5. HR Files

5.1. Pre-employment

All documentation in support of a recruitment process will be collated and retained by the Recruitment Team.

Unsuccessful applications, documentation relating to the recruitment process and any pre-employment checks related to all unsuccessful applicants with the exception of Consultants will be destroyed after 12 months.

All record and documents in connection with the selection, including short listing of Consultants will be retained for a minimum period of 5 years.

Information related to applicants who have withdrawn will be destroyed after 12 months.

All documentation in support of the appointment of an employee will be retained and stored electronically on the employee's electronic personal file, which is held securely on the Trust's HR network drive.

5.2. Employee Files

HR File

Information on current employees will predominantly be stored within the central HR filing system or stored electronically on a secure network managed by the Trust. This will include the pre-employment checks, any formal sanctions from Employee Relations investigations and Occupational Health reports received as part of the management of the employee's sickness (see Appendix 1).

Local / Line Manager's file

Annual Leave, Study Leave & appraisal records will be stored on the local file with the line manager. In addition, where necessary, a manager may store informal file notes regarding the employee's conduct or performance. File notes should be shared with the employee and where possible signed by both parties. File notes should only relate to professional matters (see Appendix 1).

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Bank / Staffing Solutions

Where an employee has been referred by their manager to undertake work through the Bank, Staffing Solutions will hold a local file containing the Bank agreement and any file notes with regards to preferred working pattern. Where it is necessary for the Staffing Solutions team to intervene with regards to an individual's performance or conduct a clear file note will drawn up and shared with both the employee and their line manager.

Where an individual is recruited directly to the Bank, Staffing Solutions will hold both their local and central HR file.

Staff moving departments or taking on additional roles in another area not through the bank

Where an employee moves departments within the Trust their local file must be transferred to their new line manager following the completion of the e-form. This should include their annual and study leave records as well as any file notes documenting concerns. Staff are entitled to view their personal file at any time.

Where an employee takes on an additional role in a different area, a copy of the existing local file should be sent to the new line manager.

In the case of staff taking on new work through the Bank the management referral form provides a sufficient summary of the local file.

5.3. Leavers

When an employee leaves the organisation the local file should be reduced to only the study, annual and appraisal records and sent to the Trust's HR department for amalgamation with the central HR record.

Study Leave and other HR records, will be retained for a minimum of 6 years following the leaving date of the employee, where it will be securely destroyed in the 7th year. A summary will then be kept until the individuals 70th birthday or until 6 years after cessation of employment if aged over 70 years at the time.

The Trust's Workforce Information Team will oversee the regular destruction of files in line with this schedule.

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6. Monitoring Compliance

Monitoring with this policy will be annual audit completed by the Workforce Information Team and submitted to the Strategic Workforce Committee for review.

7. Review

This policy will be subject to a planned review every three years as part of the Trust's Policy Review Process. It is recognised however that there may be updates required in the interim arising from amendments or release of new regulations, Codes of Practice or statutory provisions or guidance from the Department of Health or professional bodies. These updates will be made as soon as practicable to reflect and inform the Trust's revised policy and practise.

8. References

Data Protection Act 2018

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9. Appendix 1: Employee Record

Files unique to HR

- ITR
- Job Description
- Advert
- Interview Notes
- Offer of employment
- Qualifications
- References
- Right to work docs(passport)
- Visa (if required)
- Recruitment Occupational health clearance
- DBS Certificate
- Professional Registrations Check
- Employee Form
- Signed Contract
- Annual Visa Check (if required)
- Repeat DBS Check (if required)
- Occupational Health Reports
- Live Formal ER outcomes

Files unique to Departments or Staffing Solutions

- Annual Leave Record
- Study leave record
- Appraisal
- Return to work forms.
- Referral to Occupational health form
- Occupational Health Reports
- File Notes (e.g. recording lateness)
- Copies of maternity, paternity, adoption or flexible working requests & outcome
- Leavers forms

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