

## Personal File Retention Periods

Personal Records for Medical and Dental employees are held within HR Medical and Dental Services.

Personal files for all other staff should be stored securely, with access restricted to line manager.

Personal files are covered by the same policies relating to the safe storage and maintenance of assets as all other records. Full details of these policies, including information security, physical and environmental security and data protection, can be found within the information governance section of the corporate website:

<https://www.nhslanarkshire.scot.nhs.uk/corporate-policies-browser/#ig-policy>

The Staff Data Protection Notice can be found here:

<https://www.nhslanarkshire.scot.nhs.uk/data-protection-notice-staff/>

Should a staff member require access to information within their personal file, this should be requested as a Subject Access Request. Information on this can be found here:

<http://firstport2/staff-support/information-governance-records-management/access-to-health-personnel-records/default.aspx>

As electronic systems (e.g. eESS, TURAS, etc) develop and store aspects of the employee record electronically, the corresponding paper documentation will not required to be retained within the employee personal file.

If a member of staff transfers to another area of NHS Lanarkshire, their record should be transferred to the new line manager in line with NHS Lanarkshire's Transfer of Data Policy.

<https://www.nhslanarkshire.scot.nhs.uk/download/information-security-policy-transfer-of-data-including-international-transfers/?ind=1590750245094&filename=Information-Security-Policy-Transfer-of-Data-including-International-Transfers.pdf&wpdmdl=4225&refresh=5f916bb7929031603365815>

When a staff member leaves NHS Lanarkshire, their personal record should be archived within the departmental/directorate archiving system for six years.

	Document	Guidance
1.	Recruitment Correspondence for successful candidates, including eCOR, Job Description, application form, relevant checks	For new appointments, this will be issued by Recruitment electronically and should be retained in

		the personal file.
2.	Disclosure Scotland Information (Enhanced/Basic and Standard)  Protection of Vulnerable Groups Membership Certificates	These disclosures are only valid at the point in time they are carried out. The certificates are held within Recruitment for 90 days and then destroyed. They should not be held in a personal file.
3.	Evidence of Eligibility to Work in the UK	To be retained in the file.
4.	Copy of Educational/Professional Qualification or other qualification required for role	To be retained in the file
5.	Driving License/ DVLA (if applicable)	To be checked at appointment and a copy retained in the file, updating annually
6.	Copy of Health Clearance from Occupational Health (Fit Slip)	To be retained in the file.
7.	Copy of offer letter	To be retained in the file.
8.	Contract of Employment	To be retained in the file.
9.	Incremental Credit Paperwork and any evidence (if applicable)	To be retained in the file.
10.	Copy of Relocation Agreement (if applicable)	To be retained in the file until the expiry of the agreement.
11.	Staff Engagement Form	To be retained in the file.
12.	Record of Induction	To be retained on the file.
13.	Adverse Weather Form	To be reviewed annually and retained in the personal file
14.	Contract Variation Letters	To be retained in the file.
15.	Change Forms	To be retained in the file (with eESS there will be an electronic record of this therefore no need to retain a paper copy)
16.	Copy of Occupational Health	To be retained in the

	Correspondence to Manager	file.
17.	Copies of Incident/Accident Report Forms	To be retained in the file.
18.	Written requests and responses for flexible working	To be retained for the duration of the request.
19.	Personal Development Planning and Review Paperwork	If agreement to record on paper, to be retained in the file.
20.	Study Leave Requests	To be retained in the file for 2 years from the date of the course/study.
21.	Copies of correspondence to/from employee	To be retained in the file.
22.	Secondment Agreements	To be retained in the file
23.	Record of Redeployment	To be retained in the file
24.	File Notes	To be retained in the file.

If the employee has been **absent from work** the following guidelines should apply:

	<b>Document</b>	<b>Guidance</b>
25.	Medical and Self Certificates	These should be retained for 3 years from the end of the financial year in which the absence took place.
26.	Maternity Leave/Paternity Leave/Shared Parental Leave Application	Paper copies of these do not need to be retained as the information is on eESS. Any information not on eESS should be retained for 3 years
27.	Applications for other types of leave e.g. Carers Leave, Compassionate Leave etc	Where the department completes these, they should be retained for a period of 12 months from the end of the financial year in which the leave took place. The information should also be recorded on SSTS
28.	Annual Leave	Requests for Annual leave including the annual leave record card should be retained for a period of 2 years from

		the end of the relevant financial year. The information should also be recorded on SSTS
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If the employee has been subject to a **disciplinary action/ grievance/investigation/action** the following guidelines should apply:

	<b>Document</b>	<b>Guidance</b>
29.	Investigatory Documents including outcome of investigation and action taken	To be retained in the file.
30.	Grievance Documents	To be retained in the file
31.	Disciplinary outcome letters including action taken, mitigation, details of any appeals/other developments	To be retained in the file
32.	Dismissal letter to employee	To be retained in the file.  The HR Department will also hold a copy of all dismissal cases

For Medical and Dental staff only- Additional items are kept on record.

	<b>Document</b>	<b>Guidance</b>
33.	Form 1	To be retained in the file.
34.	EPA/APA Contracts, inc working time forms	To be retained in the file.
35.	Annual Job Plan Reviews	To be retained in the file.
36.	Discretionary Points correspondence	To be retained in the file.
37.	Contracts for Additional Roles e.g. medical manager, acting up etc	To be retained in the file.
38.	Sabbatical Leave Requests	To be retained in the file.