**Managers Guide to Employee Records**

1. **Overview**

The purpose of this guideline is to provide clarification as to what information should be held by the Great Western Hospitals NHS Foundation Trust (hereafter referred to as ‘the Trust’) on prospective, current and ex-employees.

As an employer the Trust has a responsibility under the Data Protection Act (1998) to ensure that all information held on its prospective, current and ex- employees is appropriate, not excessive, securely held, accessible and destroyed in a timely way.

1. **Documents - Pre-employment**

All documentation in support of a recruitment process will be collated and retained by the Recruitment Team under the job reference associated with the process.

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

Information related to applicants who have withdrawn will be marked with the applicants name and job reference and destroyed after **12 months**.

All documentation in support of the appointment of an employee will be retained within the HR department by the Recruitment function until the pre-employment checks have been completed, following which they will be securely stored within the central HR filing system. Files will be stored when the pre-employment checks have been completed and files signed off as complete by the Recruitment Administrator. *(Recruitment Checklist Appendix 1).*

1. **Employee Files**

* **HR File**

Information on current employees will be stored within the central HR filing system. 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 2).*

* **Bank / Staffing Solutions**

Information on bank staff will be stored within the central HR filing system. This will include the pre-employment checks, bank agreements, any formal sanctions from Employee Relations investigations and Occupational Health reports received as part of the management of the employee’s sickness.

* **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 2).*

Where an employee moves departments within the Trust their local file must be transferred to their new line manager following the completion of the change of assignment form. This should include their annual and study leave records as well as any file notes documenting concerns.

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.

1. **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 within **2 weeks** of Termination Note being submitted for amalgamation with the central HR record.

The amalgamated HR file will held within the Recruitment team for 3 months, after which time it will be transferred to and offsite storage facilities. HR records will then be retained for a minimum of **6 years**; records will be destroyed in the 7th year. Summary information will remain on ESR following the destruction of the personal file.

**Issued by:** Human Resources

**Date:** 9th May 2016

**Recruitment Checklist Appendix 1**

|  |  |  |
| --- | --- | --- |
| ***New Starter Checklist - March 16*** | | |
|  | Vacancy Number: |  |
|  | Applied on: |  |
| **Name:** | | |
| **Post Title & Dept/Ward:** | | |
| **Requirement:** | | **Completed:** |
| **Copy of:** | Recruitment Pack - inc Advert, JD & VRP - RAP |  |
| Universal Job Match Print out |  |
| Contract request form completed and signed |  |
| HCA Numeracy & Literacy Results recorded on spreadsheet, if applicable |  |
| Applicant Signature on file & verified against ID |  |
|  | Added to ESRAD Recruitment Database (if applicable) |  |
|  | Transfer from NHS jobs to ESR & 'Offer Accept' |  |
|  | Any previous NHS service? IAT run, where applicable |  |
| CoS | Certificate Of Sponsorship Required? | Y or N |
| **Pre-employment Checks:** | Alert List checked |  |
| Verification of ID: 1x photo & 2 address or 2 x photo & 1 address |  |
| Right to Work Check - Nat ID card or Passport or B/Cert & N Ins |  |
| Illegal Working checks added to ESR |  |
| Copy of NVQ certificates/degree - if relevant |  |
| Offer emailed: |  |
|  | Occ Health Form e-mailed: |  |
| Occ Health clearance rec'd |  |
| DBS Update Service checked or certificate seen if issued within the last 3 years: |  |
| DBS ID check requested (if applicable) : |  |
| DBS e-invite sent (if applicable) : |  |
| Date DBS Clearance received into ES Team: |  |
| DBS Disclosure No: |  |
| Risk Assessment received, if applicable |  |
| FAST TRACK AGREED - Form Completed |  |
| Reason for Fast Track: |  |
| Self Declaration (if applicable) |  |
| Overseas Police check - if less than 5yrs in UK |  |
| NHS employee: 1 ref previous employer Non NHS: 3 years which can be 1 ref Agency/bank: 3 best refs, last employer, longest employer |  |
| Name & Organisation: Sent: |  |
| Name & Organisation: Sent: |  |
| Name & Organisation: Sent: |  |
| Any Prof registration: NMC/HCPC/OTHER? |  |
| Registration number and evidence on file |  |
| **START DATE:** |  |
| **Contract** | Date of Trust Induction: |  |
| Preceptorship confirmed on Induction spreadsheet? |  |
| Fixed Term Contract/Secondment end date? |  |
| Fixed term/Secondment added to ESR (if applicable)? |  |
| **Contract/Change letter issued:** |  |
| Email Roster team copy of contract: |  |
| Satisfaction Survey Sent to Manager: |  |
| Payroll form entered onto ESR |  |
| Additional Information form entered onto ESR |  |
| **ESR & NHSJobs marked as 'Recruitment Closed'** |  |
| Self Declaration removed from file: |  |
|  | DBS Certifcate removed from file: |  |
| Signed as complete: ……………………………… Date……..…. | |  |
|  |  |  |
|  |  |  |

**Appendix 2:**

**HR Records**

* IAT
* Job description
* Advert/RAP
* Interview notes/contract request
* Offer of employment
* Qualifications
* References
* Right to work docs (passport)
* Visa (if required)
* Recruitment Occupational Health clearance
* Confirmation of DBS clearance
* Professional registrations check
* New starter form and additional personal details form.
* Signed contract
* Model declaration
* Annual visa check (if required)
* maternity, paternity, adoption or flexible working requests & outcome
* Change of assignment forms
* Live formal ER outcomes

**Local Files/Line Manager Records**

* 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
* Change of assignment forms
* Leavers forms