

Data Retention Schedule

RATP Dev London

Revision History

Revision	Author	Approved by	Owner	Date approved	Date Effective
1	L Hansen	K Fuller	K Fuller	1 May 2018	25 May 2018



RETENTION SCHEDULE

WORKFORCE PERSONAL INFORMATION

INTRODUCTION

Purpose of RATP Dev London Retention Schedule

The retention schedule is a tool used to ensure the retention of business information for as long as it is needed. It takes account of the context within which RATP Dev London operates, including the legal and regulatory environment, for example compliance with the General Data Protection Regulations ("GDPR"). It is intended primarily as an internal resource in order to assign relevant retention periods across RATP Dev London to enable disposal activity to be carried out in a consistent and controlled manner.

Purpose of the Retention Plan

The Retention Plan is designed to help organise and manage the RATP Dev London's information. Its structure is based on a functional analysis of RATP Dev London's activities.

Retention Schedule

A table containing the recommended Retention Period is given for each relevant level of the Retention Plan. The Retention Period applies to all records in that category by default, and will be adhered to wherever possible, although it is recognised that there may be exceptional circumstances which require documents to be kept for either shorter or longer periods.

Retention Periods also apply to all format of records, i.e. paper and electronic, unless specifically stated otherwise.

The primary factors that inform decisions on retention are:

- Business need.
- Legislative and regulatory requirements.

It is important that the Retention Schedule is kept up to date, to reflect changing business needs, new legislation, changing perceptions of risk management and new priorities for RATP Dev London.

Ongoing Development

The Retention Schedule will be maintained by HR who will make amendments and additions whenever legislation or the operations of RATP Dev London changes. Any changes will be approved by the DPM.

Human Resources

The management of RATP Dev London's staff and administration of staff related activities such as recruitment, disciplinary and grievances and staff development.

Recruitment

Records of recruitment exercises, job descriptions, terms and conditions of employment. Where candidates are successful a copy of the job description, application and terms and conditions of employment will be placed on the successful candidate's employee file.

RETENTION PERIOD:	Paper and Electronic:	Recruitment exercises: Review 6 months from end of recruitment exercise. Application forms/CV's: Destroy after 6 months. Applicant names and addresses: review after 3 years.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	HR Director	
LOCATION HELD:	Human Resources, garage based filing systems, OpenPeople	
PERMANENT PRESERVATION:	No.	
REFERENCES:	GDPR	
SENSITIVE PERSONAL DATA:	Yes.	

Employee Files

RETENTION PERIOD:	Paper and Electronic:	Retain until 6 years after termination of employment.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	HR Director	
LOCATION HELD:	Human Resources/Filing System, Garage based filing systems, OpenPeople, Trapeze, Talentoft	
PERMANENT PRESERVATION:	No.	
REFERENCES:	GDPR	
SENSITIVE PERSONAL DATA:	Yes.	

Conditions of Employment

Standard contracts and variations of those terms where required, i.e. compressed hours and home working.

Use 'Employee Files' for individual staff records.

RETENTION PERIOD:	Paper and Electronic:	Review 6 years after date superseded.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	HR Director	
LOCATION HELD:	Human Resources/Filing System, garage based filing system, Openpeople, Trapeze, Talentsoft	
PERMANENT PRESERVATION:	No.	
SENSITIVE PERSONAL DATA:	Yes.	

Payroll Administration

Use 'Employee Files' for individual staff records.

RETENTION PERIOD:	Paper and Electronic:	Salary ledger records: Review 6 years from the end of the financial year to which they relate. Payroll Sheets: Review 2 years from the end of the financial year to which they relate. Individual employees personal payroll history: Retain 6 years from termination of employment.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	Head of Finance	
LOCATION HELD:	Human Resources/Filing System, payroll department filing system, NGA Resourcelink, OpenPeople, Trapeze, Talentsoft.	
PERMANENT PRESERVATION:	No.	
REFERENCES:	Legal Obligation/HMRC.	
SENSITIVE PERSONAL DATA:	Yes.	

Pension Administration

All records relation to pensions administration.

RETENTION PERIOD:	Paper and Electronic:	Pension records: Retain until 7 years after closure of an individuals pension arrangement or 6 years after the death of an individual.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	Head of Finance	
LOCATION HELD:	Human Resources, Pensions department filing system, OpenPeople, third party pensions administrators.	
PERMANENT PRESERVATION:	No.	
REFERENCES:	Legal Obligation.	
SENSITIVE PERSONAL DATA:	Yes.	

Disciplinary

Management of staff conduct.

Use 'Employee Files' for individual staff records.

RETENTION PERIOD:	Paper and Electronic:	Records of formal disciplinary actions in employee file. Retain both paper and electronic for review 6 years after last action.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	HR Director	
LOCATION HELD:	Human Resources Filing System, garage based filing system, Open People	
PERMANENT PRESERVATION:	No.	
REFERENCES:	GDPR	
SENSITIVE PERSONAL DATA:	Yes.	

Grievances

Management of staff grievances.

Use 'Employee Files' for individual staff records.

RETENTION PERIOD:	Paper and Electronic:	Records of formal grievances in employee file. Retain both paper and electronic for review 6 years after last action.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	HR Director	
LOCATION HELD:	Human Resources Filing System, garage based filing system, OpenPeople	
PERMANENT PRESERVATION:	No.	
REFERENCES:	GDPR	
SENSITIVE PERSONAL DATA:	Yes.	

Termination of Employment

Termination of employment as it relates to RATP Dev London staff e.g. Early retirement and severance, Age retirement, Death in service, Redundancy.

Use 'Employee Files' for individual staff records.

RETENTION PERIOD:	Paper and Electronic:	Records relating to individual employee files: Retain until 6 years after termination of employment.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	HR Director	
LOCATION HELD:	Human Resources, garage based filing system, OpenPeople, Pension department filing system	
PERMANENT PRESERVATION:	No.	
REFERENCES:	GDPR	
SENSITIVE PERSONAL DATA:	Yes.	

Staff Health and Safety

Management of health and safety as it relates to RATP Dev London staff.

Use 'Employee Files' for individual staff records.

RETENTION PERIOD:	Paper and Electronic:	Individual health records: Retain until 6 years after termination of employment (asbestos related health records up to 40 years).
		Health surveillance records: Review 6 years from date of last entry. Proven incidents of occupational related illnesses including hearing impairment, HAVS etc retained indefinitely.
		Examination, testing, monitoring and control records: Review 6 years after last action.
		Accident records and ill health reports: Destroy 3 years after closure.
		Training, Guidance and instructions: Review 3 years from date superseded.
		Risk assessment reports and reviews: Review 6 years after superseded.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	HR Director	
LOCATION HELD:	Human Resources, Safety department filing system, OpenPeople.	
PERMANENT PRESERVATION:	No.	
REFERENCES:	Health and Safety at Work Act 1974 and supporting regulations; GDPR.	
SENSITIVE PERSONAL DATA:	Yes.	

Absence management

Management of absence as it relates to RATP Dev London staff.

Use 'Employee Files' for individual staff records.

RETENTION PERIOD:	Paper and Electronic:	Review 7 years from date superseded.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	HR Director	
LOCATION HELD:	Human Resources, garage based filing system, Open People, Trapeze.	
PERMANENT PRESERVATION:	No.	
SENSITIVE PERSONAL DATA:	Yes.	

Occupational Health

Procedures, schedule and forms for the management of occupational health services. Occupational health records relating to an individual should be stored on their employee file.

RETENTION PERIOD:	Paper and Electronic:	Medicals: Retain until 7 years after termination of employment. Procedures, events, employee assistance schemes: 7 years from date superseded. Schedules: Destroy 3 years from the end of the financial year to which the records relate.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	HR Director	
LOCATION HELD:	Huma Resources, garage based filing system, Open People, Trapeze.	
PERMANENT PRESERVATION:	No.	
REFERENCES:	GDPR.	
SENSITIVE PERSONAL DATA:	Yes.	

Learning and Development

Developing, delivering and monitoring an induction process for new staff, and developing, delivering and monitoring internal and external learning and development activities.

RETENTION PERIOD:	Paper and Electronic:	Review 6 years after folder closure. Personal Data: Current employees: duration of employment and review after 6 years. Former employees: Review 6 years after employee leaving.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	HR Director	
LOCATION HELD:	Human Resources, garage based filing system, Open people.	
PERMANENT PRESERVATION:	No.	
REFERENCES:	GDPR.	
SENSITIVE PERSONAL DATA:	Yes.	

Personal Development Review & Talent Management

Procedures, Forms and Templates.

RETENTION PERIOD:	Paper and Electronic:	Review 6 years from date superseded. Personal Data: Current employees: duration of employment and review after 6 years. Former employees: Review 6 years after employee leaving.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	HR Director	
LOCATION HELD:	Human Resources, garage based filing system, Talentsoft.	
PERMANENT	No.	

PRESERVATION:	
SENSITIVE PERSONAL DATA:	Yes.

Claims & Insurance

RETENTION PERIOD:	Paper and Electronic:	<p>Accident investigation 6 years*. Personal injury 3 years** Employers/public liability 3 years* Damage claims/recoveries 6 years Training bond recoveries 3years Assault 7 years Criminal damage 7 years Theft 7 years</p> <p>*if disputed liability/civil litigation has been resolved.</p> <p>**any paper/electronic investigation relating to a personal injury involving a child under the age of majority must be retained until child reaches age of majority/ceases full time education plus 3 years.</p>
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	Claims & Insurance Manager	
LOCATION HELD:	Claims dept, Fulwell archives & shared drive	
PERMANENT PRESERVATION:	No.	
REFERENCES:	Data protection act	

CCTV

RETENTION PERIOD:	Paper and Electronic:	<p>Accident investigation 6 years*</p> <p>Staff discipline from date of discipline award 1 year.</p> <p>Staff dismissal from date of dismissal 1 year.</p> <p>Public compliant 1 year.</p> <p>Personal injury 3 years**</p> <p>Health & safety incident 3 years</p> <p>Damage 6 years</p> <p>Assault 7 years</p> <p>Criminal damage 7 years</p> <p>Theft 7 years</p> <p>Law enforcement agencies 8 years.</p> <p>Historical interest – as determined by CCTV manager.</p> <p>Training purposes 5 years and reviewed on anniversary and extended if required.</p> <p>*if any disputed liability has been resolved and if there was no evidence of, or allegation of personal injury.</p> <p>**any CCTV relating to a personal injury involving a child under the age of majority, CCTV must be retained until child reaches age of majority then plus 3 years (+ 3 months for court documentation)..</p>
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	CCTV Manager	
LOCATION HELD:	CCTV suite at garages	
PERMANENT PRESERVATION:	No.	
REFERENCES:	Data protection act	
SENSITIVE PERSONAL DATA:	Yes.	

Financial management

Control and management of RATP Dev London's financial resources including accounting records, processing of fee income, purchase orders, expenses, payroll and invoices.

RETENTION PERIOD:	Paper and Electronic:	<p>Bank and cash</p> <p>Bank statements: 6 years from the end of the financial year to which the records relate.</p> <p>Bank reconciliations and all other banking records: 6 years from the end of the financial year to which the records relate.</p> <p>Petty cash records: 6 years from the end of the financial year to which the records relate.</p> <p>Fee income</p> <p>DD collection and cheque audit trails: 6 years from the end of the financial year to which the records relate.</p> <p>Direct Debit Mandates: 6 years from the end of the financial year to which the records relate.</p> <p>Creditors</p> <p>Supplier statements: Current and previous financial year</p> <p>Invoices and expenses claims: 6 years from the end of the financial year to which the records relate.</p> <p>Debtors</p> <p>Income vouchers: 6 years from the end of the financial year to which the records relate.</p> <p>Ledger</p> <p>Nominal ledger printouts: 6 years from the end of the financial year to which the records relate.</p> <p>Journals: Current and previous financial year.</p> <p>Year end</p> <p>Working papers: 6 years from the end of the financial year to which the records relate.</p>
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		Management accounts Monthly management reports: Current and previous financial year.
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	Head of finance	
LOCATION HELD:	Finance Department, Agresso	
PERMANENT PRESERVATION:	No.	
REFERENCES:	Regulatory requirements	
SENSITIVE PERSONAL DATA:	No.	

Vendors and suppliers

RETENTION PERIOD:	Paper and Electronic:	Name and contact information: Retained indefinitely or 6 years after final payment/contract termination and Financial and payment details: Retained indefinitely or 6 years after final payment/contract termination
AUTHORITY:	Executive Team	
INFORMATION ASSET OWNER:	Purchasing Manager	
LOCATION HELD:	Purchasing department, Agresso	
PERMANENT PRESERVATION:	No.	
REFERENCES:	Regulatory requirements	
SENSITIVE PERSONAL DATA:	No.	