



Ref: FOIA Reference 2018/19-579

Royal Stoke University Hospital
Quality, Safety and Compliance Department
Newcastle Road
Stoke-on-Trent
Staffordshire
ST4 6QG

Date: 8th January 2019

Tel: 01782 676474
Email FOI@uhn.nhs.uk

Dear

I am writing in response to your email dated 7th January 2019 requesting information under the Freedom of Information Act (2000) regarding storage of personnel records.

As of 1st November 2014 University Hospitals of North Midlands NHS Trust (UHNM) manages two hospital sites – Royal Stoke University Hospital, and County Hospital (Stafford). Therefore the response below is for the two sites combined from that date where appropriate.

Q1 I am writing to make an open government request for all the information to which I am entitled under the Freedom of Information Act 2000.

1. Please can you describe how and where you store your employee/personnel records relating to the following topics:

- **Recruitment**
- **Learning & development**
- **Annual appraisals and routine performance reviews**
- **Employee case management including disciplinary and grievance issues**

A1 Please see below:

• **Recruitment:**

All staff are recruited via the TRAC recruitment system, this system records information later passed to the Hiring Manager to form the employees' personal file
For staff other than Medical Staff, the Recruitment Team emails personnel file to Hiring Manager. The Personal file is then retained locally by the relevant Hiring Manager.
For Medical Staff, personal files are retained by the centralised Medical Staffing Team

• **Learning & development**

E-Learning records are held centrally on the Electronic Staff Records System (ESR)
Certificate or paper-based training records can be uploaded to ESR and may also be held locally on the employee personal file

• **Annual appraisals and routine performance reviews**

Personal Development Review records are held centrally on the ESR and / or held locally on the employee personal file

• **Employee case management including disciplinary and grievance issues**

Case Management records are held by the Human Resources Department – this includes:

- A spreadsheet-based case management log

- All documentation regarding investigation, disciplinary and appeal hearings is retained electronically in a secure folder
- Details of the outcome/no case to answer are documented in the employee's confidential personnel file

Q2 Please provide details of any technology used to store employee/personnel records.

A2 Please see below:

- TRAC is the Recruitment System used by the Trust
- ESR is the Electronic Staff Record System which enables managers to manage their teams, including appraisal and training data. Staff can access their own personal data, complete e-learning and complete appraisal information
- An Excel spreadsheet is used to log employee case management

*Please note that any individuals identified do not give consent for their personal data to be processed for the purposes of direct marketing.

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An anonymised copy of this request can be found on the Trust's disclosure log, please note that all requests can be found at the following link: <http://www.uhnm.nhs.uk/aboutus/Statutory-Policies-and-Procedures/Pages/Freedom-of-Information-Disclosure-Log.aspx>

This letter confirms the completion of this request. A log of this request and a copy of this letter will be held by the Trust.

If you have any queries related to the response provided please in the first instance contact my office.

Should you have a complaint about the response or the handling of your request, please also contact my office to request a review of this. If having exhausted the Trust's FOIA complaints process you are still not satisfied, you are entitled to approach the Information Commissioner's Office (ICO) and request an assessment of the manner in which the Trust has managed your request.

The Information Commissioner may be contacted at:

Information Commissioner's Office, Wycliffe House, Water Lane, Wilmslow, Cheshire SK9 5AF or via www.ico.org.uk.

If following review of the responses I can be of any further assistance please contact my secretary on 01782 676474.



University Hospitals
of North Midlands
NHS Trust

Yours,

L Carlisle

Leah Carlisle
Deputy Head of Quality, Safety & Compliance

