

## Allied Worldwide Business Solutions - Confidential

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|-----------------------------|-------------------------|-------------|-----------------|-----------------|-----------------|
| Data Retention Policy       | 01                      | 26/4/2019   | Ram Acharya     | Akash Bhat      | Akash Bhat      |
| Data Retention Policy       | 02                      | 19/3/2020   | Ram Acharya     | M.Sadananda     | Akash Bhat      |

### Data Retention Policy (Employment)

#### Introduction

This policy sets out how long employment-related information will normally be held by us and when that information will be confidentially destroyed.

#### Responsibility

Ram Acharya, Quality Consultant is responsible for implementing and monitoring compliance with this policy.

They will undertake an annual review of this policy to verify that it is in effective operation.

#### Our process

We will keep the information (hard copy and electronic) for at least the period specified in our retention schedule (sometimes known as a Data retention schedule or guidelines) (see **Error! Reference source not found.**).

All information must be reviewed before destruction to determine whether there are special factors that mean destruction should be delayed, such as potential litigation, complaints or grievances.

Hard copy and electronically-held documents and information must be deleted at the end of the retention period.

Hard copy documents and information must be disposed of by shredding.

## Appendix

### Data retention schedule (employment)

This retention schedule accompanies and is incorporated into Allied's **Data protection (employment) policy and privacy notices**. It sets out the time periods that different types of (employment-related) business records must be retained for business and legal purposes. This is a lengthy document listing the many types of employment-related records used by Allied and the applicable retention periods for each record type.

The retention periods are based on business needs and legal requirements. If you keep any types of records not listed in this Schedule, and it is not clear from the existing record types in this Schedule what retention period should apply, please contact Ram Acharya, Quality Consultant for guidance.

Any deviation from the retention periods in this Schedule must be approved in advance by the legal team at Allied Worldwide

### Employment records

#### Personnel records

| Record                                                                                                                                                                                                                                                                                                      | Recommended retention period                                                                                                                                                                                                                 | Storage format      | Reference                                                                 |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|---------------------------------------------------------------------------|
| Rejected job applicant records, including: <ul style="list-style-type: none"><li>- contact details</li><li>- application letters or forms</li><li>- CVs</li><li>- references</li><li>- certificates of good conduct</li><li>- interview notes</li><li>- assessment and psychological test results</li></ul> | Six months after applicant is notified of rejection for a disclosed longer period in line with consent attained directly from candidate. Application forms should give applicants the opportunity to object to their details being retained. | Paper or electronic | <u>ICO Employment Practices Code para 1.7</u><br>Equality Act 2010, s 123 |
| Application records of successful candidates, including: <ul style="list-style-type: none"><li>- application letters or forms</li><li>- copies of academic and other training received</li><li>- references</li><li>- correspondence</li></ul>                                                              | Six years after employment ceases                                                                                                                                                                                                            | Paper or electronic | Limitation Act 1980 (LA 1980), s 5                                        |

| Record                                                                                                                                                                                                             | Recommended retention period                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Storage format             | Reference                                                                                                                                               |
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| <p>concerning employment</p> <ul style="list-style-type: none"> <li>- CVs</li> <li>- interview notes and evaluation forms</li> <li>- assessment and psychological test papers and results</li> </ul>               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |                            |                                                                                                                                                         |
| <p>Criminal records information: criminal records requirement assessments for a particular post criminal records information forms the Disclosure and Barring Service (DBS) check forms DBS certificates</p>       | <p>Criminal records requirement assessments for a particular post—12 months after the assessment was last used</p> <p>All other information in this category—as soon as practicable after the check has been completed and the outcome recorded (i.e. whether satisfactory or not) unless, in exceptional circumstances Ram Acharya, Quality Consultant at AWBS assesses that it is clearly relevant to the ongoing employment relationship (<i>e.g. to allow for consideration and resolution of any disputes or complaints</i>) in which case, six months</p> <p>If Ram Acharya, Quality Consultant considers it necessary to keep the information for longer than six months, the DBS should be consulted</p> | <p>Paper or electronic</p> | <p><a href="#"><u>DBS guidance for employers: Duration of criminal record check validity ICO Employment Practices Code Nov 2011, part 1.7.4</u></a></p> |
| <p>Employment contracts, including:</p> <ul style="list-style-type: none"> <li>- personnel and training records</li> <li>- written particulars of employment</li> <li>- changes to terms and conditions</li> </ul> | <p>Six years after employment ceases, unless document executed as a deed, in which case 12 years after employment ceases</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | <p>Paper or electronic</p> | <p>LA 1980, ss 5, 8</p>                                                                                                                                 |
| <p>Directors' service contracts and any variations</p>                                                                                                                                                             | <p>Six years from termination or expiry of the contract, unless executed as a deed, in which case 12 years from termination or expiry</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <p>Paper or electronic</p> | <p>LA 1980, ss 5, 8 Companies Act 2006, ss 227 and 228</p>                                                                                              |
| <p>Copies of identification documents (e.g. passports)</p>                                                                                                                                                         | <p>Not less than two years from date of termination of employment</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <p>Paper or electronic</p> | <p>Immigration (Restrictions on Employment) Order SI 2007/3290, Art</p>                                                                                 |

| Record                                                                                                                                                                                                                                                             | Recommended retention period                                   | Storage format      | Reference                                                                         |
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|                                                                                                                                                                                                                                                                    |                                                                |                     | 6(1)(b)                                                                           |
| Identification documents of foreign nationals (including right to work)                                                                                                                                                                                            | Not less than two years from date of termination of employment | Paper or electronic | Immigration (Restrictions on Employment) Order SI 2007/3290, art 6(1)(b)          |
| Records concerning a temporary worker                                                                                                                                                                                                                              | Six years after employment ceases                              | Paper or electronic | LA 1980, s 5                                                                      |
| Employee performance and conduct records, including: <ul style="list-style-type: none"> <li>- probationary period reviews</li> <li>- review meeting and assessment interviews</li> <li>- appraisals and evaluations</li> <li>- promotions and demotions</li> </ul> | Six years after employment ceases                              | Paper or electronic | LA 1980, s 5<br>See Practice Note: Regulatory references under the SM&CR and SIMR |
| Records relating to and/or showing compliance with Working Time Regulations 1998 including: <ul style="list-style-type: none"> <li>- registration of work and rest periods</li> <li>- working time opt-out forms</li> </ul>                                        | Two years from the date on which the record was made           | Paper or electronic | Working Time Regulations 1998, SI 1998/1833, reg 9                                |
| Redundancy records                                                                                                                                                                                                                                                 | Six years from date of redundancy                              | Paper or electronic | LA 1980, s 5                                                                      |
| Annual leave records                                                                                                                                                                                                                                               | Six years after the end of each tax year                       | Paper or electronic | LA 1980, s 5                                                                      |
| Parental leave records                                                                                                                                                                                                                                             | Six years after the end of each tax year                       | Paper or electronic | LA 1980, s 5                                                                      |
| Sickness records                                                                                                                                                                                                                                                   | Six years after the end of each tax year                       | Paper or electronic | LA 1980, s 5                                                                      |
| Records of return to work meetings following sickness, maternity etc                                                                                                                                                                                               | Six years the end of each tax year                             | Paper or electronic | LA 1980, s 5                                                                      |

Payroll and salary records

| Record                                                                                                                                                                                                                        | Recommended retention period                                                                                                | Storage format      | Reference                                                                                                                              |
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| Records for the purposes of tax returns including wage or salary records, records of overtime, bonuses and expenses                                                                                                           | Six years                                                                                                                   | Paper or electronic | Taxes Management Act, 1970 s 12B<br>Finance Act 1998, Schedule 18, para 21                                                             |
| Pay as You Earn (PAYE) records, including: <ul style="list-style-type: none"> <li>- wage sheets</li> <li>- deductions working sheets</li> <li>- calculations of the PAYE income of employees and relevant payments</li> </ul> | Three years                                                                                                                 | Paper or electronic | Income Tax (Pay As You Earn) Regulations 2003, SI 2003/2682, reg 97                                                                    |
| Income tax and NI returns, income tax records and correspondence with HMRC                                                                                                                                                    | Three years after the end of the financial year to which they relate                                                        | Paper or electronic | Income Tax (Employments) Regulations 1993, SI 1993/744, reg 55                                                                         |
| Records demonstrating compliance with national minimum wage requirements                                                                                                                                                      | Three years beginning with the day upon which the pay reference period immediately following that to which they relate ends | Paper or electronic | National Minimum Wage Regulations 2015, SI 2015/621, reg 59                                                                            |
| Details of benefits in kind, income tax records (P45, P60, P58, P48 etc), annual return of taxable pay and tax paid                                                                                                           | Six years (but general time limit under the TMA 1970 is reducing to four years from 1 April 2012)                           | Paper or electronic | Taxes Management Act 1970                                                                                                              |
| Employee income tax and national insurance returns and associated HMRC correspondence                                                                                                                                         | Three years from end of tax year to which they relate                                                                       | Paper or electronic | Income Tax (Pay as You Earn) Regulations 2003, SI 2003/2682, reg 97                                                                    |
| Statutory sick pay (SSP) records                                                                                                                                                                                              | Three years after the end of the tax year to which they relate                                                              | Paper or electronic | The requirement to maintain SSP records for three years after the end of the tax year to which they relate was revoked in 2014, but an |

| Record                                                                                                       | Recommended retention period                                                        | Storage format      | Reference                                                                                                                                                                                                                                                                                          |
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|                                                                                                              |                                                                                     |                     | employer may still be required by HMRC to produce such records as are in his possession or power which contain, or may contain, information relevant to satisfy HMRC that statutory sick pay has been and is being paid. The Statutory Sick Pay (General) Regulations 1982, SI 1982/894, reg 13(A) |
| Wage or salary records (including overtime, bonuses and expenses)                                            | Six years                                                                           | Paper or electronic | Taxes Management Act 1970, s 43                                                                                                                                                                                                                                                                    |
| Records relating to hours worked and payments made to workers                                                | Three years                                                                         | Paper or electronic | National Wage Act 1998, s 9<br>The National Wage Regulations 1999, reg 38                                                                                                                                                                                                                          |
| Statutory maternity, paternity and shared parental pay records, calculations, certificates or other evidence | Three years after the end of the tax year in which the period of statutory pay ends | Paper or electronic | Statutory Maternity Pay (General) Regulations 1986, SI 1986/1960, reg 26                                                                                                                                                                                                                           |

#### Health and safety records

| Record                                                                                                                                                                                         | Recommended retention period                                | Storage format      | Reference                                                                                                          |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|---------------------|--------------------------------------------------------------------------------------------------------------------|
| Records of reportable injuries, diseases or dangerous occurrences<br>reportable incidents<br>reportable diagnoses<br>injury arising out of accident at work (including Allied's accident book) | Three years from date of the entry                          | Paper or electronic | The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR 2013), SI 2013/1471, reg 12 |
| Lists or register of employees who have been exposed to asbestos dust, including health records of each employee                                                                               | 40 years from the date of the last entry made in the record | Paper or electronic | Control of Asbestos Regulations 2012, SI 2012/63, reg 22(1)                                                        |
| Medical records and details of biological tests under the Control of Lead at Work Regulations                                                                                                  | 40 years from the date of the last entry made in the record | Paper or electronic | The Control of Lead at Work Regulations 2002 (CLAW 2002), SI 2002/2676, reg 10                                     |

| Record                                                                                                         | Recommended retention period                                                                                                                                                                                                  | Storage format      | Reference                                                                                         |
|----------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|---------------------------------------------------------------------------------------------------|
| Medical records as specified by the Control of Substances Hazardous to Health Regulations (COSHH)              | 40 years from the date of the last entry made in the record                                                                                                                                                                   | Paper or electronic | The Control of Substances Hazardous to Health Regulations 2002 (COSHH 2002), SI 2002/2677, reg 11 |
| Records of monitoring of exposures to hazardous substances (where exposure monitoring is required under COSHH) | Where the record is representative of the personal exposures of identifiable employee—40 years from the date of the last entry made in the record<br>Otherwise, five years from the date of the last entry made in the record | Paper or electronic | COSHH 2002, reg 10(5)                                                                             |
| Records of tests and examinations of control systems and protective equipment under COSHH                      | Five years from the date on which the record was made                                                                                                                                                                         | Paper or electronic | COSHH 2002, reg 9                                                                                 |