

SCHEDULE OF RECORDS

EQF3007 – Issue 9 02/23

Document Type	How long to keep for (and source of requirement)
Personnel records	
<ul style="list-style-type: none"> Work-seeker records including application form/CV, ID checks, Medical and Drugs & Alcohol Certificates (Rail), terms of engagement (see also below), details of assignments, opt-out notices and interview notes Hirer records including client details, terms of business (see below), assignment/vacancy details. 	<p>As a minimum 1 year from the last date of providing work-finding services as an Employment Agency or Employment Business (Conduct of Employment Agencies and Employment Businesses Regulations 2003 (Conduct Regulations)).</p> <p>3 years in line with GDPR for non-working.</p> <p>2-year deletion of sensitive documents (right-to-work documents/health details), after employment ceases.</p>
Terms of engagement with temporary worker and terms of business with clients	6 years in order to deal with any civil action in the form of contractual claim (Limitation Act 1980) (5 years in Scotland).
Working time records: <ul style="list-style-type: none"> 48 hour opt out notice Annual leave records 	2 years from the time they were created
Staff records to include personnel and training records	6 years after employment ceases
Annual appraisal/assessment records	6 years after employment ceases
References	<p>As a minimum 1 year following the introduction or supply of a work seeker to a client.</p> <p>3 years in line with GDPR for non-working, and 6 years post placement for legal reasons.</p>
Records held relating to right to work in the UK	2 years after employment or engagement has ended – must not be alterable.
Criminal records checks/ Disclosure Barring checks	There is no longer a 6 month time limit on how long DBS certificates can be kept for. When it comes to handling and storing certificates the new DBS Code requires registered bodies to ‘handle all information provided to them by DBS, as a consequence of applying for a DBS product, in line with the obligations under Data Protection Act 1998’.

<p>National Minimum Wage documentation:</p> <ul style="list-style-type: none"> • Total pay by the worker and the hours worked by the worker • Overtime/shift premia; • Any deduction or payment of accommodation; • Any absences eg rest breaks, sick leave, holiday; • Any travel or training during working hours and its length; • Total number of hours in a pay reference period. 	<p>For HMRC purposes: 6 years (5 in Scotland) in order to show that you have paid at least national minimum wage rates if a breach of contract claim is brought against you.</p>
<p>Sickness records – statutory sick pay</p>	<p>6 years after employment ceases (for Activ Absence after 6 years records will be anonymised for reporting purposes). Records held on merit – but only active members on current database. Old versions are kept for 6 years on backup copies saved on finance server.</p>
<p>Statutory maternity, paternity, adoption pay</p>	<p>6 years from the end of the tax year to which it relates</p>
<p>Pensions auto-enrolment (including auto-enrolment date, joining date, opt in and opt out notices, contributions paid)</p>	<p>6 years except for opt out notices which should be kept for 4 years. For further information please see http://www.thepensionsregulator.gov.uk/docs/detailed-guidance-9.pdf</p>
<p>Gender pay gap reporting</p>	<p>1 year (but the statement must be kept on the Government website and organisation’s own website for 3 years).</p>
<p>Company financial records</p>	
<p>VAT</p>	<p>6 years –please see an overview of VAT record keeping https://www.gov.uk/vat-record-keeping</p>
<p>Company accounts</p>	<p>6 years – please see an overview of running a limited company https://www.gov.uk/running-a-limited-company/company-and-accounting-records</p>
<ul style="list-style-type: none"> • Payroll information • CIS records 	<p>6 years from the end of the tax year – please see https://www.gov.uk/what-you-must-do-as-a-cis-contractor/record-keeping and PAYE record keeping - https://www.gov.uk/payee-for-employers/keeping-recordsn-on-the-Gov.uk website.</p>

Current Bank Details	<p>For contractual purposes only: Bank details appear within payroll reporting and are held for auditing purposes. Reports are stored in a secure network drive that only the payroll team have access to. As in the finishers process – immediate removal of bank details from candidate record in Merit Payroll Software. Contractors are advised to send back details to Payroll team only, not via email.</p>
Records in relation to hours worked and payments made to workers (staff and PAYE workers)	6 years beginning with the day upon which the pay reference period immediately following that to which they relate ends
ITEPA (the intermediaries legislation) records	Report due every quarter, to be kept for no less than 3 years after the end of the tax year to which they relate.
Quality records	
Management Reviews	6 years
Audit Schedules	6 years
Internal Quality Audit Reports	6 years
Corrective Action Requests	6 years
Customer Complaints	6 years
Quality Systems Surveys	6 years
Customer Perception Surveys	6 years
Rail Personnel Files	2 years after employment or engagement has ended
Suppliers Certification	6 years
Medical Self-certification	2 years after employment or engagement has ended
<p>Following the appropriate retention period all records held will be deleted (if held electronically) or securely shredded via confidential waste (if paper records).</p>	