

# Annex D2: Business and Corporate (Non-Health) Records Retention Schedule

This retention schedule details a Minimum Retention Period for each type of non-health record. Records (whatever the media) may be retained for longer than the minimum period. However, records should not ordinarily be retained for more than 30 years. The National Archives (see Note 1 below) should be consulted where a longer period than 30 years is required, or for any pre-1948 records. Organisations should also remember that records containing personal information are subject to the Data Protection Act 1998.

The following types of record are covered by this retention schedule (regardless of the media on which they are held, including paper, electronic, images and sound):

- administrative records (including personnel, estates, financial and accounting
- records, and notes associated with complaint handling);
- photographs, slides and other images (non-clinical);
- microform (ie microfiche/microfilm);
- audio and video tapes, cassettes, CD-ROMs, etc;
- e-mails;
- computerised records; and
- scanned documents

The schedule is split into the following types of records:

Administrative (corporate and organisation)

Biomedical Engineering

Estates/engineering

Financial

IM & T

Other

Personnel/human resources

Purchasing/supplies

If viewed in electronic format, the search facility in Word or PDF can be used to search for particular record types.

### *Notes*

An organisation with an existing relationship with an approved Place of Deposit should consult the Place of Deposit in the first instance. Where there is no pre-existing relationship with a Place of Deposit, organisations should consult The National Archives.

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
<b>ADMINISTRATIVE (CORPORATE AND ORGANISATION)</b>				
Accident forms (see also Litigation dossiers)	10 years		Destroy under confidential conditions	S
Accident register (Reporting of Injuries,Diseases and Dangerous Occurrencesregister) – see also Incident forms	10 years	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (reg. 7); SocialSecurity (Claims and Payments) Regulations (reg. 25)	Destroy under confidential conditions	C
Adoption records (i.e. administrative records relating the adoption process)	75th anniversary of the date of birth of the child to whom it relates or, if the child dies before attaining the age of 18,15 years beginning with thedate of the 18th birthday	Children and Young Persons Arrangements for Placement of Children (General) (Regulations 1991,SI 1991, No. 890 regs. 8, 9, 10 – children's records) Adoption Regulations 2004(reg. 34)	Destroy under confidential conditions	N
Advance letters (eg DH guidance)	6 years		Destroy	S
Agendas of board meetings, committees, sub-committees (master copies,including associated papers)	30 years		See note 1	S
Agendas (other)	2 years		Destroy under confidential conditions	S
Agreements (see Contracts)				

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Ambulance Records – Administrative (i.e. records containing non-clinical details only) e.g. records of journeys	2 years from the end of the year to which they relate		Destroy under confidential conditions	N
Annual/corporate reports	3 years		See note 1	S
Appointment Records (GP)	2 years (Provided that any patient-relevant information has been transferred to the patient record)  At the end of the 2 year retention period GP practices should consider if there is an ongoing administrative need to keep the records/books for longer. If there IS an ongoing need to retain these records/books, then a further review date should be set (either 1 or 2 more years)		Destroy under confidential conditions – once a decision has been made that there is no ongoing administrative need to retain the records.	N

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Assembly/Parliamentary questions,MP enquiries	10 years		As these documents include all information provided by the organisation in response to a PQ (e.g. background note to the Minister or the Minister may amend the response) all of which may not be used in the response and therefore it will not be in the public domain on House of Commons records they must be destroyed under confidential conditions.	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Audit Records (e.g. Organisational Audits, Records Audits, Systems Audits) – Internal & External in any format (paper, electronic etc)	2 years from the date of completion of the audit		Destroy under confidential conditions	N
Business plans, including local delivery plans	20 years		Destroy	S
Catering forms	6 years		Destroy under confidential conditions	S
Close circuit TV images	31 days	Information Commissioner's Code of Conduct	Erase permanently	S
Commissioning decisions – Appeal documentation – Decision documentation	– 6 years from date of appeal decision – 6 years from date of decision		Destroy under confidential conditions	S S
Complaints (See also litigation dossiers) – Correspondence, investigation and outcomes – Returns made to DH	– 8 years from completion of action – Files closed annually and kept for 6 years following closure  NB: Current policy on the handling of complaints is under review and further guidance will be issued in due course		Destroy under confidential conditions	C
Copyright declaration forms (Library Service)	6 years	Copyright, Designs and Patents Act 1988	Destroy under confidential conditions	N

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Data Input Forms (where the data/ information has been input to a computer system)	2 years		Destroy under confidential conditions	N
Diaries (office)	1 year after the end of the calendar year to which they refer		Destroy under confidential conditions	S
Exposure monitoring records	5 years from the date the record was made	Control of Substances Hazardous to Health Regulations 2002 (reg. 10(5))	Destroy under confidential conditions	S
'Find-a-Doc' records (kept by PCT's) – contact sheets and letters – assignment cases/letters – records of negotiations with GMS contract managers re: patient registration with a GP	6 months 2 years 2 years		Destroy under confidential conditions	N
Flexi working hours (personal record of hours actually worked)	6 months		Destroy under confidential conditions	S
Freedom of Information requests	3 years after full disclosure; 10 years if information is redacted or the information requested is not disclosed		Destroy under confidential conditions	S
GMS1 forms (registration with GP)	3 years		Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Health and safety documentation	3 years		Destroy under confidential conditions	S
History of organisation or predecessors, its organisation and procedures (eg establishment order)	30 years		See note 1	S
Hospital (trust) services i.e. service that the Trust provides e.g. catering, hotel services	10 years		Destroy	S
Incident forms	10 years		Destroy under confidential conditions	C
Indices (records management)	Registry lists of public records marked for permanent preservation, or containing the record of management of public records – 30 years  File lists and document lists where public records or their management are not covered – 30 years		See note 1  Destroy under confidential conditions	S  S
Laundry lists and receipts	2 years from completion of audit		Destroy under confidential conditions	S
Library registration forms	2 years after registration		Destroy	S



TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Litigation dossiers (complaints including accident/incident reports) Records/documents relating to anyform of litigation	10 years Where a legal action has commenced, keep as advised by legal representatives		Destroy under confidential conditions	S S
Manuals – policy and procedure (administrative and clinical, strategy documents)	10 years after life of the system (or superseded) to which the policies or procedures refer		Destroy (policy documents may have archival value – see note 1)	S
Maps	Lifetime of the organisation		See note 1	S
Meetings and minutes papers of major committees and sub-committees (master copies)	30 years		See note 1	S
Meetings and minutes papers (other, including reference copies of major committees)	2 years		Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Mental Health Act Administration Records	<p>5 years</p> <p>NB There is no obligation to treat this type of mental health record as being part of a patient's health record. There may, however, be exceptions, such as where they are required to be kept as evidence in actual or expected litigation or where they are needed by a healthcare professional in order to provide healthcare.</p> <p>Each healthcare practitioner has discretion as to the information which s/he wishes to include as part of a patient record. If in any particular case a healthcare practitioner requires a document which forms part of the mental health act administration record to be included in a patient's record (because he or she regards it as relevant to the patient's healthcare), it should then be regarded as part of the patient' health record</p>	<p>HC(91)29 (NHS)</p> <p>SI 2001/3869, reg.47 (Independent Sector)</p>	<p>Destroy under confidential conditions</p>	<p>N</p>
Mortgage documents (acquisition, transfer and disposal)	<p>6 years after repayment</p>		<p>See note 1</p>	<p>S</p>
Nominal rolls	<p>6 years (maximum)</p>		<p>Destroy under confidential conditions</p>	<p>S</p>

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Papers of minor or short-lived importance not covered elsewhere, eg: <ul style="list-style-type: none"> <li>– advertising matter</li> <li>– covering letters</li> <li>– reminders</li> <li>– letters making appointments</li> <li>– anonymous or unintelligible letters</li> <li>– drafts</li> <li>– duplicates of documents known to be preserved elsewhere (unless they have important minutes on them)</li> <li>– indices and registers compiled for temporary purposes</li> <li>– routine reports</li> <li>– punched cards</li> <li>– other documents that have ceased to be of value on settlement of the matter involved</li> </ul>	2 years after the settlement of the matter to which they relate		Destroy under confidential conditions	S
Patient Advice & Liaison Service (PALS) records	10 years after closure of the case		Destroy under confidential conditions	N
Patient information leaflets	6 years after the leaflet has been superseded		See note 1	C

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Patients' property books/registers (property handed in for safekeeping)	6 years after the end of the financial year in which the property was disposed of or 6 years after the register was closed		Destroy under confidential conditions	S
Patient Surveys (re access to services etc)	2 years		Destroy under confidential conditions	N
Phone Message Books	2 years NB Any clinical information should be transferred to the patient health record		Destroy under confidential conditions	N
Police Statements (made in the context of Accident and Emergency episodes. Statements are requested by the Police to the A&E staff in relation to alleged injuries of or by patients coming through A&E)	10 years (congruent retention period as Incident Forms)		Destroy under confidential conditions	N
Press cuttings	1 year		Destroy (where bound volumes exist, see note 1)	S
Press Releases	7 years		see note 1	N
Project files (over £100,000) on termination, including abandoned or deferred projects	6 years		See note 1	S
Project files (less than £100,000) on termination	2 years		Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Project team files (summary retained)	3 years		Destroy under confidential conditions	S
Public Consultations e.g. about future provision of services	5 years		Destroy under confidential conditions	N
Quality and Outcomes Framework (QOF) documents (GP Practice records)	2 years		Destroy under confidential conditions	N
Quality assurance records (eg Healthcare Commission, Audit Commission, King's Fund Organisational Audit, Investors in People)	12 years		Destroy under confidential conditions	S
Receipts for registered and recorded mail	2 years following the end of the financial year to which they relate		Destroy under confidential conditions	S
Records documenting the archiving, transfer to public records archive or destruction of records	30 years		See note 1	S
Records of custody and transfer of keys	2 years after last entry		Destroy under confidential conditions	S
Reports (major)	30 years		See note 1	S
Requests for access to records, other than Freedom of Information or subject access requests	6 years after last action		Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Requisitions	18 months		Destroy under confidential conditions	S
Research ethics committee records	3 years from date of decision		See note 1	C
Serious incident files	30 years		See note 1	S
Specifications (eg equipment, services)	6 years	Limitation Act 1980	Destroy under confidential conditions	S
Statistics (including Korner returns, contract minimum data set, statistical returns to DH, patient activity)	3 years from date of submission		Destroy	S
Subject access requests (DPA and AHR)– records of requests	3 years after last action		Destroy under confidential conditions	S
Surgical appliances forms AP 1, 2, 3 and 4	2 years from completion of audit		Destroy under confidential conditions	S
Time sheets (relating to a Group or Department e.g. Ward where the timesheets are kept as a tool to manage resources, staffing levels)	6 months		Destroy under confidential conditions	N

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
<b>BIOMEDICAL ENGINEERING</b>				
Sterilix Endoscopic Disinfector Daily Water Cycle Test,	11 years	Consumer Protection Act 1987	Destroy under confidential conditions	N
Sterilix Endoscopic Disinfector Daily Water Purge Test, Nynhydrin Test	11 years	Consumer Protection Act 1987	Destroy under confidential conditions	N

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
<b>ESTATES/ENGINEERING</b>				
Buildings and engineering works, including major projects abandoned or deferred – key records (eg final accounts, surveys, site plans, bills of quantities)	30 years		See note 1	S
Buildings and engineering works, including major projects abandoned or deferred – town and country planning matters and all formal contract documents (eg executed agreements, conditions of contract, specifications, 'as built' record drawings, documents on the appointment and conditions of engagement of private buildings and engineering consultants)	30 years		See note 1	S
Buildings – papers relating to occupation of the building (but not health and safety information)	3 years after occupation ceases	Construction Design Management Regulations 1994	Destroy under confidential conditions	S
Deeds of title	Retain while the organisation has ownership of the building unless a Land Registry certificate has been issued, in which case the deeds should be placed in an archive  If there is no Land Registry certificate, the deeds should pass on with the sale of the building		See note 1	S



TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Drawings – plans and buildings (architect signed, not copies)	Lifetime of the building to which they relate		See note 1	S
Engineering works – plans and building records	Lifetime of the building to which they relate		See note 1	S
Equipment – records of non-fixed equipment, including specification, test records, maintenance records and logs	11 years If the records relate to vehicles (ambulances, responder cars, fleet vehicles etc) and where the vehicle no longer exists, providing there is a record that it was scrapped, the records can be destroyed	Consumer Protection Act 1987	Destroy under confidential conditions	N
Inspection reports (eg boilers, lifts)	Lifetime of installation If there is any measurable risk of a liability in respect of installations beyond their operational lives, the records should be retained indefinitely		See note 1	S
Inventories of furniture, medical and surgical equipment not held on store charge and with a minimum life of 5 years	Keep until next inventory		See note 1	C
Inventories of plant and permanent or fixed equipment	5 years after date of inventory		See note 1	S
Land surveys/registers	30 years		See note 1	S
Leases – the grant of leases, licences and other rights over property	Period of the lease plus 12 years	Limitation Act 1980	Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Maintenance contracts (routine)	6 years from end of contract		Destroy under confidential conditions	S
Manuals (operating)	Lifetime of equipment		Review if issues (eg HSE) are outstanding	S
Medical device alerts	Retain until updated or withdrawn (check MHRA website)	www.mhra.gov.uk	Destroy under confidential conditions	S
Photographs of buildings	30 years		See note 1	S
Plans – building (as built)	Lifetime of building		May have historical value – see note 1	S
Plans – building (detailed)	Lifetime of building		May have historical value (see note 1)	S
Plans – engineering	Lifetime of building		See note 1	S
Property acquisitions dossiers	30 years		See note 1	S
Property disposal dossiers	30 years		See note 1	S
Radioactive waste	30 years	Radioactive Substances Act 1993	See note 1	S
Site files	Lifetime of site		See note 1	S
Structure plans (organisational charts) i.e. the structure of the building plans	Lifetime of building		See note 1	C
Surveys – building and engineering works	Lifetime of building or installation		See note 1	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
<b>FINANCIAL</b>				
Accounts – annual (final – one set only)	30 years		See note 1	S
Accounts – minor records (pass books, paying-in slips, cheque counterfoils, cancelled/ discharged cheques (for cheques bearing printed receipts, see Receipts), accounts of petty cash expenditure, travel and subsistence accounts, minor vouchers, duplicate receipt books, income records, laundry lists and receipts)	2 years from completion of audit		Destroy under confidential conditions	S
Accounts – working papers	3 years from completion of audit		Destroy under confidential conditions	S
Advice notes (payment)	1.5 years		Destroy under confidential conditions	S
Audit records (internal and external audit) – original documents	2 years from completion of audit		Destroy under confidential conditions	N
Audit reports – internal and external (including management letters, value for money reports and system/final accounts memoranda)	2 years after formal completion by statutory auditor		Destroy under confidential conditions	N
Bank statements	2 years from completion of audit		Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Banks Automated Clearing System (BACS) records	6 years after year end		Destroy under confidential conditions	S
Benefactions (records of)	5 years after end of financial year in which the trust monies become finally spent or the gift in kind is accepted. In cases where the Benefaction Endowment Trust fund/capital/ interest remains permanent, records should be permanently retained by the organisation		See note 1	S
Bills, receipts and cleared cheques	6 years		Destroy under confidential conditions	S
Budgets (including working papers, reports, virements and journals)	2 years from completion of audit		Destroy under confidential conditions	S
Capital charges data	2 years from completion of audit		Destroy under confidential conditions	S
Capital paid invoices (see Invoices)				
Cash books	6 years after end of financial year to which they relate	Limitation Act 1980	Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Cash sheets	6 years after end of financial year to which they relate	Limitation Act 1980	Destroy under confidential conditions	S
Contracts – financial	Approval files – 15 years Approved suppliers lists – 11 years		Destroy under confidential conditions	C
Contracts – non-sealed (property) on termination	6 years after termination of contract	Limitation Act 1980	Destroy under confidential conditions	S
Contracts – non-sealed (other) on termination	6 years after termination of contract	Limitation Act 1980	Destroy under confidential conditions	S
Contracts – sealed (and associated records)	Minimum of 15 years, after which they should be reviewed		See note 1	S
Contractual arrangements with hospitals or other bodies outside the NHS, including papers relating to financial settlements made under the contract (eg waiting list initiative, private finance initiative)	6 years after end of financial year to which they relate		Destroy under confidential conditions	S
Cost accounts	3 years after end of financial year to which they relate		Destroy under confidential conditions	S
Creditor payments	3 years after end of financial year to which they relate		Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Debtors' records – cleared	2 years from completion of audit		Destroy under confidential conditions	S
Debtors' records – uncleared	6 years from completion of audit		Destroy under confidential conditions	S
Demand notes	6 years after end of financial year to which they relate		Destroy under confidential conditions	S
Estimates, including supporting calculations and statistics	3 years after end of financial year to which they relate		Destroy under confidential conditions	S
Excess fares	2 years after end of financial year to which they relate		Destroy under confidential conditions	S
Expense claims, including travel and subsistence claims, and claims and authorisations	5 years after end of financial year to which they relate		Destroy under confidential conditions	S
Fraud case files/investigations	6 years		Destroy under confidential conditions	S
Fraud national proactive exercises	3 years		Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Funding data	6 years after end of financial year to which they relate		Destroy under confidential conditions	S
General Medical Services payments	6 years after year end		Destroy under confidential conditions	S
Invoices	6 years after end of financial year to which they relate	Limitation Act 1980	Destroy under confidential conditions	S
Ledgers, including cash books, ledgers, income and expenditure journals, nominal rolls, non-exchequer funds records (patient monies)	6 years after end of financial year to which they relate	Limitation Act 1980	Destroy under confidential conditions	S
Non-exchequer funds records (i.e. funding received by the organisation that does not directly relate to patient care eg charitable funds)	30 years Company charities are required by company law to keep their accounts and accounting records for at least three years but the Charity Commission recommends that they be kept for at least 6 years. The majority of non-company charities must keep their accounts and accounting records for six years (Part VI Charities Act 1993).		Although technically exempt from the Public Records Act, it would be appropriate for authorities to treat these records as if they were not exempt	N
Patient Monies (i.e. smaller sums of donated money)	6 years		Destroy under confidential conditions	N

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
PAYE records	6 years after termination of employment		Destroy under confidential conditions	S
Payments	6 years after year end		Destroy under confidential conditions	S
Payroll (ie list of staff in the pay of the organisation)	6 years after termination of employment		Destroy under confidential conditions  For superannuation purposes, organisations may wish to retain such records until the subject reaches benefit age	S
Positive predictive value performance indicators	3 years		Destroy under confidential conditions	S
Private Finance Initiative (PFI)	30 years		See note 1	S
Receipts	6 years after end of financial year to which they relate	Limitation Act 1980	Destroy under confidential conditions	S
Salaries (see Wages)				



TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Superannuation accounts	10 years		Destroy under confidential conditions	S
Superannuation registers	10 years		Destroy under confidential conditions	S
Tax forms	6 years		Destroy under confidential conditions	S
Transport (staff pool car documentation)	3 years unless litigation ensues		Destroy under confidential conditions	S
Trust documents without permanent relevance/not otherwise mentioned	6 years		Destroy under confidential conditions	S
Trusts administered by Strategic Health Authorities (terms of)	30 years		See note 1	S
VAT records	6 years after end of financial year to which they relate		Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Wages/salary records	10 years after termination of employment		Destroy under confidential conditions  For superannuation purposes, organisations may wish to retain such records until the subject reaches benefit age.	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
<b>IM &amp; T</b>				
Documentation relating to computer programmes written in-house	Lifetime of software		Destroy under confidential conditions	S
Software licences	Lifetime of software		Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
<b>OTHER</b>				
Chaplaincy records	2 years		May have archival value – see note 1	S
Contractor Applications (Doctors, Dentists, Opticians & Pharmacists)	6 years after end of contract for approvals 6 years for non-approvals.		Destroy under confidential conditions	N

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
<p>Contractor Records (e.g. Ophthalmic Opticians, Ophthalmic Medical Practitioners, Pharmacists, Pharmacy Premises, General Optical Council amendments to the register, Previous Pharmacy rotas and supporting information (prior to 2005 – new regulations), Copies of previous Pharmacy and Ophthalmic local lists, Correspondence relating to pharmacies supplying oxygen and visiting Residential/ Nursing homes (prior to new regulations)</p>	7 years	<p>NHS(General Ophthalmic Services) Regs 1986: A contractor shall keep a proper record in respect of each patient to whom he provides general ophthalmic services, giving appropriate details of sight testing. Subject to paragraph 8(5) a contractor shall retain all such records for a period of seven years, and shall during that period produce them when required to do so by a Primary Care Trust or the Secretary of State. Follow link below for more detail <a href="http://www.dh.gov.uk/assetRoot/04/10/12/42/04101242.pdf">http://www.dh.gov.uk/assetRoot/04/10/12/42/04101242.pdf</a></p>	Destroy under confidential conditions	N

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Doctors Postgraduate Educational Allowance/ Personal Development Plan files and supporting general correspondence – Records kept by PCT's	GP Seniority (prior to 2004 – new regulations)	<p>NHS(General Ophthalmic Services) Regs 1986:</p> <p>A contractor shall keep a proper record in respect of each patient to whom he provides general ophthalmic services, giving appropriate details of sight testing.</p> <p>Subject to paragraph 8(5) a contractor shall retain all such records for a period of seven years, and shall during that period produce them when required to do so by a Primary Care Trust or the Secretary of State.</p> <p>Follow link below for more detail</p> <p><a href="http://www.dh.gov.uk/assetRoot/04/10/12/42/04101242.pdf">http://www.dh.gov.uk/assetRoot/04/10/12/42/04101242.pdf</a></p>	Destroy under confidential conditions	N
Family Health Service Appeals Authority tribunal and case files	<p>Case files – 10 years</p> <p>Decision records – until individual's 80th birthday</p>		<p>See note 1</p> <p>Destroy under confidential conditions</p>	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
GP retirements/moved away	6 years after individual leaves service, at which time a summary of the file must be kept until the individual's 70th birthday		See note 1	N
Research and development (organisation) i.e. all the organisation's records associated with research and development and not individual trial records or information on patients.	30 years	Medical Research Council	See note 1	N

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
<b>PERSONNEL/HUMAN RESOURCES</b>				
<b>NB</b> Both medical staff records and agency locums staff records should be treated as personnel records and retained accordingly.				
Consultants (records relating to the recruitment of)	5 years	NHS (Appointment of Consultants) Regulations, good practice guidelines, page 11, para. 5.3 <a href="http://www.dh.gov.uk/assetRoot/04/10/27/50/04102750.pdf">http://www.dh.gov.uk/assetRoot/04/10/27/50/04102750.pdf</a>	Destroy under confidential conditions	S
CVs for non-executive directors (successful applicants)	5 years following term of office		Destroy under confidential conditions	S
CVs for non-executive directors (unsuccessful applicants)	2 years		Destroy under confidential conditions	S
Duty rosters i.e. organisation or departmental rosters, not the ones held on the individual's record.	4 years after the year to which they relate		Destroy under confidential conditions	N
Industrial relations (not routine staff matters), including industrial tribunals	10 years		Destroy under confidential conditions	S
Job advertisements	1 year		Destroy	S



TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Job applications (successful)	3 years following termination of employment		Destroy under confidential conditions	S
Job applications (unsuccessful)	1 year		Destroy under confidential conditions	S
Job descriptions	3 years		Destroy under confidential conditions	S
Leavers' dossiers	<p>6 years after individual has left</p> <p>Summary to be retained until individual's 70th birthday or until 6 years after cessation of employment if aged over 70 years at the time.</p> <p>The summary should contain everything except attendance books, annual leave records, duty rosters, clock cards, timesheets, study leave applications, training plans</p>	<p>The 6 year retention period is to take into account any ET claims, or EL claims that may arise after the employee leaves NHS employment, requests for information from the NHS pensions agency etc. Claims of this nature can include periods of up to 6 years or more prior to the claim and where evidence could be needed from a number of sources, it is appropriate to retain as much as possible from the original file.</p>	<p>Destroy under confidential conditions</p> <p>See note 1</p>	N
Letters of appointment	6 years after employment has terminated or until 70th birthday, whichever is later		Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Nurse training records (from hospital-based nurse training schools prior to the introduction of academic-based training)	30 years		See note 1	N
Pension Forms (all)	7 years	HMRC Technical Pension Notes for registered pension schemes under regulation 18 of SI2006/567 – 'RPSM12300020 – Scheme Administrator Information Requirements and Administration for General Retention of Records'	Destroy under confidential conditions	N
Personnel/human resources records –major (eg personal files, letters of appointment, contracts, references and related correspondence, registration authority forms, training records, equal opportunity monitoring forms (if retained)) NB Includes locum doctors	6 years after individual leaves service, at which time a summary of the file must be kept until the individual's 70th birthday Summary to be retained until individual's 70th birthday or until 6 years after cessation of employment if aged over 70 years at the time. The summary should contain everything except attendance books, annual leave records, duty rosters, clock cards, timesheets, study leave applications, training plans	The 6 year retention period is to take into account any ET claims, or EL claims that may arise after the employee leaves NHS employment, requests for information from the NHS pensions agency etc. Claims of this nature can include periods of up to 6 years or more prior to the claim and where evidence could be needed from a number of sources, it is appropriate to retain as much as possible from the original file.	See note 1	N

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Personnel/human resources records – minor (eg attendance books, annual leave records, duty rosters (i.e. duty rosters held on the individual's record not the organisation or departmental rosters), clock cards, timesheets (relating to individual staff members)) NB Includes locum doctors	2 years after the year to which they relate		Destroy under confidential conditions	N
Staff car parking permits	3 years		Destroy under confidential conditions	S
Study leave applications	5 years		Destroy under confidential conditions	S
Timesheets (for individual members of staff)	2 years after the year to which they relate  NB Timesheets (for all individuals including locum doctors) held on the personnel record are minor records – retain for 2 years.  Timesheets held elsewhere – i.e. on the ward retain for 6 months (as the master timesheet is held on the personnel file)		Destroy under confidential conditions	N
Training plans	2 years		Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
<b>PURCHASING/SUPPLIES</b>				
Approval files (contracts)	6 years after end of the year the contract expired		Destroy under confidential conditions	S
Approved suppliers lists	11 years	Consumer Protection Act 1987	Destroy under confidential conditions	S
Delivery notes	2 years after end of financial year to which they relate		Destroy under confidential conditions	S
Products (liability)	11 years	Consumer Protection Act 1987	Destroy under confidential conditions	S
Stock control reports	18 months		Destroy under confidential conditions	S
Stores records – major (eg stores ledgers)	6 years		Destroy under confidential conditions	S
Stores records – minor (eg requisitions, issue notes, transfer vouchers, goods received books)	18 months		Destroy under confidential conditions	S

TYPE/SUBTYPE OF RECORD	MINIMUM RETENTION PERIOD	DERIVATION	FINAL ACTION	CODE
Supplies records – minor (eg invitations to tender and inadmissible tenders, routine papers relating to catering and demands for furniture, equipment, stationery and other supplies)	18 months		Destroy under confidential conditions	S
Tenders (successful)	Tender period plus 6 year limitation period	Limitation Act 1980	Destroy under confidential conditions	S
Tenders (unsuccessful)	6 years	Limitation Act 1980	Destroy under confidential conditions	S

# Annex D3: Electronic Record/ Audit Trails

1. Electronic records are supported by audit trails, which record details of all additions, changes, deletions and viewings. Typically, the audit trail will include information on:
  - who – identification of the person creating, changing or viewing the record;
  - what – details of the data entry or what was viewed;
  - when – date and time of the data entry or viewing; and
  - where – the location where the data entry or viewing occurred.
2. Audit trails are important for medico-legal purposes as they enable the reconstruction of records at a point in time. Without its associated audit trail, there is no reliable way of confirming that an entry is a true record of an event or intervention.
3. NHS Connecting for Health is considering the impact of the retention of audit trail data, eg whether it should be retained for at least the same period as the data to which it relates. There is also an unresolved issue regarding the association of audit trail data with electronic GP records transferred between practices.
4. Advice and guidance specific to audit trails will be issued in due course on the Department of Health website (<http://www.dh.gov.uk/PolicyandGuidance/OrganisationPolicy/RecordsManagement/>). In the meantime, NHS organisations are advised to retain all audit trails until further notice.

# Annex E: Approved Places of Deposit

'Where an NHS Trust has previously deposited records with a given place of deposit listed here, it should continue to liaise with the same institution unless it receives guidance from The National Archives (TNA) to the contrary. If a Trust is not aware of any previous transfers, or as a result of re-organisation has previously transferred records to more than one place of deposit, it should contact National Advisory Services at TNA (nas@nationalarchives.gov.uk, tel 020 8392 5330 x2620), who will be able to advise which place of deposit should be contacted regarding further transfers. National Advisory Services will also be happy to advise on any other queries regarding the working of the Public Records Act in respect of NHS records.'

A list of all the current appointed Places of Deposit is available on The National Archives website (see below)

<http://www.nationalarchives.gov.uk/archives/deposit.htm>

The current contact details of these institutions are on The National Archives Archon Directory page (see below)

<http://www.nationalarchives.gov.uk/archon/>







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