

## **Appendix II: Retention schedule**

This appendix sets out the retention period for different types of records relating to health and care records. Where indicated, Appendix III should also be referred to. This sets out further detail relating to the management of specific types and formats of records.

### **About the retention schedule**

The following information is important to ensure the retention schedule is used correctly.

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The retention periods listed in this retention schedule must always be considered the minimum period. With justification, a retention period can be extended for the majority of cases, up to 20 years (refer to section five of the Code). For more information, refer to *R v Northumberland County Council and the Information Commissioner* (23 July 2015). This provides assurance that it is legitimate to vary common practice or guidance where a well-reasoned case for doing so is made.

Retention periods begin when the record ceases to be operational. This is usually at the point of discharge from care when the record is no longer required for current on-going business, or the patient or service user has died. There are some exceptions to this rule, whereby the retention begins from the date the record is created (for corporate records, such as policies, the retention may start from the date of publication). These are marked with an asterisk (\*) in the schedule and may also contain further information in the notes for that entry.

If a record comes back into use during its retention period, then the retention period will reset and begin again from the end of the second period of use. This may mean that records will look as if they are being kept for longer than the retention times stated here, or even [maximum periods as suggested by law](#), but this is acceptable where retention periods reset due to use (refer to section five of the Code).

The actions following review as set out in the schedule are as follows:

### **Review and destroy if no longer required**

Destroy refers to the confidential and secure destruction of the record with proof of destruction. These will be records with no archival value and there is no longer an ongoing business need to retain them for longer.

### **Review and dispose of if no longer required**

"Dispose of" refers to the secure destruction of a record OR the transferral to the appointed PoD for permanent preservation. A certificate of transfer will be provided as

proof of transfer (and can act as evidence of disposal). Refer to section five of the Code for further information about permanent preservation.

### **Review and consider transfer to Place of Deposits (PoD)**

This refers to records that are more likely to be transferred to the PoD, subject to their discussion and agreement about potential accession. Not all records considered for accession will be taken by the PoD. If the record has been offered and declined to be taken, and it has no further retention value, then it must be securely destroyed. Where you have potentially a new series of records for the PoD, you must discuss accessioning them before any action is taken.

### **Review and transfer to PoD**

This refers to records that should be transferred to the PoD such as trust board minutes and final annual financial report - local agreement will already be in place to accession these.

It is very important that any health and care records are reviewed before they are destroyed. This review should take into account:

- serious incidents which will require records to be retained for up to 20 years as set out in the schedule
- use of the record during the retention period which could extend its retention
- potential for long-term archival preservation - this may particularly be the case where the records relate to rare conditions such as Creutzfeldt-Jakob Disease records or innovative treatments, for example, new cancer treatments

If setting a retention period not covered by this Code, there are a number of factors to consider including:

### **Legal or regulatory obligations**

There may be a specific legal or regulatory reason to keep a record, which may also provide guidance on how long that record needs to be kept to meet that obligation.

### **Purpose of the record**

The reasons you have created the record may also help define how long you need to keep them for. A record created for medico-legal reasons may need to be for a long period of time, whereas a record created for a specific event that has no post-event actions will attract a short retention period.

### **Number of records**

The number of records in a series can help you set a retention period. It is worth noting that the number of records is not directly proportionate to a longer retention period (for

example, the more records created, then the longer they must be kept). It should also be noted that the number of records is also not indicative of historical value. Due to its type, one record may have historical value, where a series of 200+ records might not.

### **Service delivery**

The uniqueness or niche way a service is delivered may lend itself to a longer retention period. PoDs can be interested in taking records relating to services that were delivered in a unique way.

### **Call or recall of records**

If a record or series has a low recall rate, it could be indicative of a shorter retention period. Likewise records that are continually in use may require a longer retention period.

The above list is not exhaustive.

## Appendix II: Retention schedule: Care records

This appendix sets out the retention period for different types of records relating to health and care.

The tables below sets out the retention periods for different types of records relating to care records. The retention periods listed in this retention schedule must always be considered the minimum period. Where indicated, Appendix III should also be referred to.

### Adult health records not covered by any other section in this schedule

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|             |                                                                                                                                                                                                         |
|-------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Record type | Adult health records not covered by any other section in this schedule<br>(includes medical illustration records such as x-rays and scans as well as video and other formats. Also includes care plans) |
|-------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

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|          |             |
|----------|-------------|
| Category | Care record |
|----------|-------------|

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|                  |         |
|------------------|---------|
| Retention period | 8 years |
|------------------|---------|

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|                 |                                     |
|-----------------|-------------------------------------|
| Disposal action | Review and consider transfer to PoD |
|-----------------|-------------------------------------|

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| Notes | Records involving pioneering or innovative treatment may have archival value, and their long term preservation should be discussed with the local PoD or The National Archives.<br>Also refer to <a href="#">Appendix III: ambulance service records</a> . |
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### Adult social care records (including care plans)

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|             |                                                  |
|-------------|--------------------------------------------------|
| Record type | Adult social care records (including care plans) |
|-------------|--------------------------------------------------|

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|          |             |
|----------|-------------|
| Category | Care record |
|----------|-------------|

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|                  |         |
|------------------|---------|
| Retention period | 8 years |
|------------------|---------|

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|                 |                                          |
|-----------------|------------------------------------------|
| Disposal action | Review and destroy if no longer required |
|-----------------|------------------------------------------|

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### Children's records (including midwifery, health visiting and school nursing)

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|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Children's records (including midwifery, health visiting and school nursing) : can include medical illustrations, as well as video and audio formats |
| <b>Category</b>         | Care record                                                                                                                                          |
| <b>Retention period</b> | Up to 25th or 26th birthday                                                                                                                          |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                                                                             |
| <b>Notes</b>            | Retain until 25th birthday, or 26th if the patient was 17 when treatment ended.                                                                      |

### Clinical records that pre-date the NHS

|                        |                                                                                                                    |
|------------------------|--------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>     | <b>Clinical records that pre-date the NHS (July 1948)</b>                                                          |
| <b>Category</b>        | Care record                                                                                                        |
| <b>Disposal action</b> | Review and transfer to PoD                                                                                         |
| <b>Notes</b>           | Contact your local PoD to arrange review and transfer. Records not selected by the PoD must be securely destroyed. |

### Dental records: clinical care records

|                         |                                                                               |
|-------------------------|-------------------------------------------------------------------------------|
| <b>Record type</b>      | Dental records: clinical care records                                         |
| <b>Category</b>         | Care record                                                                   |
| <b>Retention period</b> | 11 years (note this changed from 15 years in May 2023 following legal advice) |
| <b>Disposal action</b>  | Review, and destroy if no longer required                                     |

|              |                                                                                                                              |
|--------------|------------------------------------------------------------------------------------------------------------------------------|
| <b>Notes</b> | Based on Limitations Act 1980. This applies to all dental care settings and the BSA. This also includes FP17 or FP17O forms. |
|--------------|------------------------------------------------------------------------------------------------------------------------------|

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#### **Dental records: finance related**

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|-------------------------|-------------------------------------------|
| <b>Record type</b>      | Dental records: finance related           |
| <b>Category</b>         | Care record                               |
| <b>Retention period</b> | 2 years                                   |
| <b>Disposal action</b>  | Review, and destroy if no longer required |

|              |                                                                                    |
|--------------|------------------------------------------------------------------------------------|
| <b>Notes</b> | These include PR forms. NHS BSA may retain financial records for a minimum 6 years |
|--------------|------------------------------------------------------------------------------------|

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#### **Electronic Patient Record Systems (EPR)**

|                         |                                          |
|-------------------------|------------------------------------------|
| <b>Record type</b>      | Electronic Patient Record Systems (EPR)  |
| <b>Category</b>         | Care record                              |
| <b>Retention period</b> | Refer to notes                           |
| <b>Disposal action</b>  | Review and destroy if no longer required |

|              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
|--------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Notes</b> | Where the system has the capacity to destroy records in line with the retention schedule, and where a metadata stub can remain, demonstrating the destruction, then the Code should be followed in the same way for digital as well as paper records with a log kept of destruction.<br>If the EPR does not have this capacity, then once records reach the end of their retention period, they should be made inaccessible to system users upon decommissioning. The system, along with the audit trails, should be retained for the retention period of the last entry related to the schedule |
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#### **GP patient records: deceased patients**

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|-------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | GP patient records: deceased patients                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Category</b>         | Care record                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Retention period</b> | 10 years                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                                                                                                                                                                                                                                                                                                                                       |
| <b>Notes</b>            | <p>Confidentiality generally continues after death and records should be retained for medico-legal and possible public interest, for example, research reasons. Review retention after 10 years when possible medico-legal reasons will lapse under requirements of the Limitation Act 1980. Destroy if the record holds no value for researchers. Also refer to <a href="#">Appendix III: GP records</a>.</p> |

### GP patient records: living patients

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|-------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | GP patient records: living patients                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Category</b>         | Care record                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |
| <b>Retention period</b> | Continual retention                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>Notes</b>            | <p>If the patient has not been seen for 10 years, or a request for transfer to a new GP has not been received, the GP practice should check the Personal Demographics Service (PDS) for indication of death or other reason for no contact. If there is no reason to suggest no contact, then the record must be kept by the GP practice.</p> <p>If however they have: 1. Died - refer to the retention table section for GP patient records: deceased patients. 2. Transferred to a new practice - transfer the record to the new practice and delete the record, where possible, once it has transferred (refer to 5.3 of the Code on deletion of records). 3. De-registered and the reason is not known – refer to the retention table section for GP patient records: de-registered cases where the reason is unknown. Also refer to <a href="#">Appendix III GP records</a>.</p> |

## GP patient records: de-registered cases where the reason is unknown

|                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|-------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | GP patient records: de-registered cases where the reason is unknown                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Category</b>         | Care record                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Retention period</b> | 100 years                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Disposal action</b>  | Review and dispose of if no longer required                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Notes</b>            | <p>These are cases where the patient has de-registered from the practice, but the reason is unknown. It would be good practice for GPs to check if there is a reason for de-registration (death, missed registration at another practice, emigration etc.). It is not suggested that a retrospective check be carried out, but it would be good practice going forward to conduct a check for these cases.</p> <p>Once checked under General Medical Services (GMS) regulations, records should be sent to NHSE via Primary Care Support England (PCSE) operational processes. (Also refer to <a href="#">Appendix III: GP records</a>.)</p> |

## GP patient registrations form

|                         |                                                                                                                                                                                                                                                                                                                                                                                                              |
|-------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | GP patient registrations form                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Category</b>         | Care record                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Retention period</b> | 6 years after the year of registration                                                                                                                                                                                                                                                                                                                                                                       |
| <b>Disposal action</b>  | Review and dispose of if no longer required                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Notes</b>            | <p>These need to be kept for 6 years as GP per capita payments are made based on registered patient numbers. Most GP practices scan the form into the patient's electronic record once it is created. The paper form can be destroyed securely once the minimum retention period has been reached, unless there is another reason to keep the form longer, this would be identified at the review stage.</p> |

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**Integrated records: all organisations contribute to the same single instance of the record**

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**Record**

**type** Integrated records: all organisations contribute to the same single instance of the record

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**Category** Care record

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**Retention period** Retain for period of longest speciality

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**Disposal action** Review and consider transfer to PoD

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**Notes**

The retention time will vary depending upon which type of health and care settings have contributed to the record. Areas that use this model must have a way of identifying the longest retention period applicable to the record

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**Integrated records: all organisations contribute to the same record, but keep a level of separation**

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**Record type**

Integrated records: all organisations contribute to the same record, but keep a level of separation (refer to notes)

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**Category** Care record

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**Retention period** Retain for relevant specialty period

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**Disposal action** Review and consider transfer to PoD

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**Notes** This is where all organisations contribute into the same record system but have their own area to contribute to and the system still shows a contemporaneous view of the patient record

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**Integrated records: all organisations keep their own records, but enable them to be viewed by other organisations**

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|-------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Integrated records: all organisations keep their own records, but enable them to be viewed by other organisations                                                                                                                                  |
| <b>Category</b>         | Care record                                                                                                                                                                                                                                        |
| <b>Retention period</b> | Retain for relevant specialty period                                                                                                                                                                                                               |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                                                                                                |
| <b>Notes</b>            | This is the most likely model currently in use. Organisations keep their own records on their patients or service users but can grant 'view only' access to other organisations, to help them provide health and care to patients or service users |

#### **Mental health records including psychology records**

|                         |                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|-------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Mental health records including psychology records                                                                                                                                                                                                                                                                                                                                                                                |
| <b>Category</b>         | Care record                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>Retention period</b> | 20 years, or 10 years after death                                                                                                                                                                                                                                                                                                                                                                                                 |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                                                                                                                                                                                                                                                                               |
| <b>Notes</b>            | <p>Covers records made under the Mental Health Act (MHA) 1983 and 2007 amendments.</p> <p>Records retained solely for any person who has been sectioned under MHA1983 must be considered for longer than 20 years where the case is ongoing, or the potential for recurrence is high, based on local clinical judgment. This applies to records of patients or service users, regardless of whether they have capacity or not</p> |

## Obstetrics, maternity, antenatal and postnatal records

|                         |                                                                                                                                                        |
|-------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Obstetrics, maternity, antenatal and postnatal records                                                                                                 |
| <b>Category</b>         | Care record                                                                                                                                            |
| <b>Retention period</b> | 25 years                                                                                                                                               |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                                                                               |
| <b>Notes</b>            | For record keeping purposes, these are considered to be as much the child's record as the parent, so the longer retention period should be considered. |

## Prison health records

|                         |                                                                                                                                                                                                                                                                                                                                                                                  |
|-------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Prison health records                                                                                                                                                                                                                                                                                                                                                            |
| <b>Category</b>         | Care record                                                                                                                                                                                                                                                                                                                                                                      |
| <b>Retention period</b> | 10 years                                                                                                                                                                                                                                                                                                                                                                         |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                                                                                                                                                                                                                                                                                                         |
| <b>Notes</b>            | <p>A summary of their prison healthcare is sent to the person's new GP upon release and the record should be considered closed at the point of release.</p> <p>These records are unlikely to have long term archival value and should be retained by the organisations providing care in the prison, or successor organisations if the running of the service changes hands.</p> |

## Cancer/oncology records: any patient\*

|                    |                                       |
|--------------------|---------------------------------------|
| <b>Record type</b> | Cancer/oncology records: any patient* |
|--------------------|---------------------------------------|

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|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Category</b>         | Care record                                                                                                                                                                                                                                                                        |
| <b>Retention period</b> | 30 years, or 8 years after death                                                                                                                                                                                                                                                   |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                                                                                                                                |
| <b>Notes</b>            | Retention for these records begins at diagnosis rather than the end of operational use. For clinical care reasons, these records must be retained longer in case of re-occurrence. Where the oncology record is part of the main records, then the entire record must be retained. |

### Contraception, sexual health, family planning, Genito-Urinary Medicine (GUM)

**Record type** Contraception, sexual health, family planning, Genito-Urinary Medicine (GUM)

|                         |                                                                                                                                                                                                                                                                                                                                                                            |
|-------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Category</b>         | Care record                                                                                                                                                                                                                                                                                                                                                                |
| <b>Retention period</b> | 8 or 10 years                                                                                                                                                                                                                                                                                                                                                              |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                                                                                                                                                                                                                                                                                                   |
| <b>Notes</b>            | <p>8 years for the basic retention requirement but this is increased to 10 in cases of implants or medical devices. If the record relates to a child, then retain in line with children's records.</p> <p>(Also refer to <a href="#">Appendix III</a>: records dealt with under the NHS Trusts and Primary Care Trusts (Sexually transmitted disease) directions 2000)</p> |

### Creutzfeldt-Jakob Disease: patient records

|                         |                                            |
|-------------------------|--------------------------------------------|
| <b>Record type</b>      | Creutzfeldt-Jakob Disease: patient records |
| <b>Category</b>         | Care record                                |
| <b>Retention period</b> | 30 years or 10 years after death           |
| <b>Disposal action</b>  | Review and consider transfer to PoD        |

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**Notes**

Diagnosis records must be retained for clinical care purposes.

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**Human Fertility and Embryology Authority (HFEA) records: treatment provided in licenced centres**

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**Record type**

Human Fertility and Embryology Authority (HFEA) records: treatment provided in licenced centres

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**Category** Care record

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**Retention period** 3,10, 30 or 50 years

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**Disposal action** Review and destroy if no longer required.

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**Notes**

These retention periods are set out in HFEA guidance.

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**Long-term illness, or illness that may reoccur: patient records**

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**Record**

**type** Long-term illness, or illness that may reoccur: patient records

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**Category** Care record

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**Retention period** 20 years, or 10 years after death

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**Disposal action** Review and destroy if no longer required

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**Notes** Necessary for continuation of clinical care. The primary record of the illness and course of treatment must be kept where the illness may reoccur or it is a life-long condition such as diabetes, arthritis or Chronic Obstructive Pulmonary Disease.

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**Sexual Assault Referral Centres (SARC)**

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|-------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Sexual Assault Referral Centres (SARC)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>Category</b>         | Care record                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>Retention period</b> | 30 years, or 10 years after death (if known)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>Disposal action</b>  | Review, and destroy if no longer required                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>Notes</b>            | <p>These records need to be kept for medico-legal reasons because an individual may not be in a position to bring a case against the alleged perpetrator for a long time after the event. Once the retention period is reached, a decision needs to be made about continued retention. Records cannot be kept indefinitely just in case an individual might bring a case. Some individuals may never bring a case and indefinite retention may be seen as a breach of UK GDPR, keeping information longer than necessary. Consideration also needs to be given to the Police and Criminal Evidence Act 1984, Human Tissue Act 2004, and Criminal Procedure and Investigations Act 1996 legal requirements; other laws and regulations may also need to be taken into account.</p> |

## Appendix II: Retention schedule: Pharmacy

This appendix sets out the retention period for different types of pharmacy records relating to health and care.

The tables below set out the retention periods for different types of records relating to pharmacy records. The retention periods listed in this retention schedule must always be considered the minimum period. Where indicated, Appendix III should also be referred to.

### Controlled drugs: registers

|                         |                                                                          |
|-------------------------|--------------------------------------------------------------------------|
| <b>Record type</b>      | Controlled drugs: registers                                              |
| <b>Category</b>         | Pharmacy                                                                 |
| <b>Retention period</b> | 2 years, refer to notes                                                  |
| <b>Disposal action</b>  | Review and destroy if no longer required                                 |
| <b>Notes</b>            | See <a href="#">Care Quality Commission guidance on controlled drugs</a> |

### Controlled drugs: order books, requisitions

|                         |                                             |
|-------------------------|---------------------------------------------|
| <b>Record type</b>      | Controlled drugs: order books, requisitions |
| <b>Category</b>         | Pharmacy                                    |
| <b>Retention period</b> | 2 years                                     |
| <b>Disposal action</b>  | Review, and destroy if no longer required   |
| <b>Notes</b>            | Misuse of Drugs Act 2001                    |

### Pharmacy prescription records

|                         |                                                                                                                                                                                                                     |
|-------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Pharmacy prescription records                                                                                                                                                                                       |
| <b>Category</b>         | Pharmacy                                                                                                                                                                                                            |
| <b>Retention period</b> | 2 years                                                                                                                                                                                                             |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                                                                                                                                            |
| <b>Notes</b>            | A record of the prescription will also be held by NHS BSA and there will be an entry on the patient record. Further advice and guidance on pharmacy records can be found on the Specialist Pharmacy Service website |

## Appendix II: Retention schedule: Pathology

This appendix sets out the retention period for different types of pharmacy records relating to health and care.

The tables below set out the retention periods for different types of records relating to pathology records. The retention periods listed in this retention schedule must always be considered the minimum period. Where indicated, Appendix III should also be referred to.

### Pathology reports, information about samples

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|-------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Pathology reports, information about samples                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>Category</b>         | Pathology                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |
| <b>Retention period</b> | Refer to notes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Notes</b>            | <p>This Code is concerned with the information about a specimen or sample. The length of time clinical material (for example, a specimen) is stored will drive how long the information relating to it is retained. Sample retention can be for as long as there is a clinical need to hold it. Reports should be stored on the patient file.</p> <p>It is common for pathologists to hold duplicate records. For clinical purposes, these should be retained for eight years after discharge or until a child's 25th birthday. If information is retained for 20 years, it must be appraised for historical value, and a decision made about its disposal. (Also refer to <a href="#">Appendix III</a> - specimens and samples)</p> |

## Appendix II: Retention schedule: Event and transaction record

This appendix sets out the retention period for different types of event and transaction records relating to health and care.

This appendix sets out the retention period for different types of event and transaction records relating to health and care. The retention periods listed in this retention schedule must always be considered the minimum period. Where indicated, Appendix III should also be referred to.

### Blood bank register

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|-------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Blood bank register*                                                                                                                                          |
| <b>Category</b>         | Event and transaction record                                                                                                                                  |
| <b>Retention period</b> | 30 years minimum                                                                                                                                              |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                           |
| <b>Notes</b>            | Need to be disposed of if there is no on-going need to retain them, such as the currently ongoing Infected Blood Inquiry, subject to any transfer to the PoD. |

### Clinical audit

|                         |                                                                                                                                                                                                                                |
|-------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Clinical audit*                                                                                                                                                                                                                |
| <b>Category</b>         | Event and transaction record                                                                                                                                                                                                   |
| <b>Retention period</b> | 5 years                                                                                                                                                                                                                        |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                                                                                                                                                       |
| <b>Notes</b>            | Five years from the year in which the audit was conducted. This includes the reports and data collection sheets/exercise. The data itself will usually be clinical so should be kept for the appropriate retention period, for |

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example, data from adult health records would be kept for 8 years.

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### **Chaplaincy records**

|                         |                                            |
|-------------------------|--------------------------------------------|
| <b>Record type</b>      | Chaplaincy records*                        |
| <b>Category</b>         | Event and transaction record               |
| <b>Retention period</b> | 2 years                                    |
| <b>Disposal action</b>  | Review and consider transfer to PoD        |
| <b>Notes</b>            | Also refer to corporate governance records |

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### **Clinical diaries**

|                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
|-------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Clinical diaries                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>Category</b>         | Event and transaction record                                                                                                                                                                                                                                                                                                                                                                                                                                                         |
| <b>Retention period</b> | 2 years                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Notes</b>            | Two years after the year to which they relate.<br>Diaries of clinical activity and visits must be written up and transferred to the main patient record. If the information is not transferred from the diary, so the only record of the event is in the diary, then this must be retained for eight years and reviewed.<br>Some staff keep hardback diaries of their appointments or business meetings. If these contain no personal data, they can be disposed of after two years. |

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### **Clinical protocols**

|                         |                                                                                                                                                                                                          |
|-------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Clinical protocols*                                                                                                                                                                                      |
| <b>Category</b>         | Event and transaction record                                                                                                                                                                             |
| <b>Retention period</b> | 20 years                                                                                                                                                                                                 |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                                                      |
| <b>Notes</b>            | Clinical protocols may have preservational value. They may also be routinely captured in clinical governance meetings which may form part of the permanent record, refer to corporate governance records |

#### Datasets released by NHS England and its predecessors including NHS Digital

|                         |                                                                                                                                                                      |
|-------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Datasets released by NHS England and its predecessors including NHS Digital                                                                                          |
| <b>Category</b>         | Event and transaction record                                                                                                                                         |
| <b>Retention period</b> | Delete with immediate effect                                                                                                                                         |
| <b>Disposal action</b>  | Delete with immediate effect                                                                                                                                         |
| <b>Notes</b>            | Delete in line with instructions and guidance on the retention and disposal of data as issued through the <a href="#">Data Access Request Service (DARS) process</a> |

#### Destruction certificates, or electronic metadata destruction stub, or record of clinical information held on physical media

|                    |                                                                                                                             |
|--------------------|-----------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b> | Destruction certificates, or electronic metadata destruction stub, or record of clinical information held on physical media |
|--------------------|-----------------------------------------------------------------------------------------------------------------------------|

|                         |                                                                                                                                                                                                                                           |
|-------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Category</b>         | Event and transaction record                                                                                                                                                                                                              |
| <b>Retention period</b> | 20 years                                                                                                                                                                                                                                  |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                                                                                       |
| <b>Notes</b>            | Destruction certificates created by public bodies are not covered by a retention instrument; if they do not relate to patient care and if a PoD or The National Archives do not accession them. They need to be destroyed after 20 years. |

### Equipment maintenance log

|                         |                                           |
|-------------------------|-------------------------------------------|
| <b>Record type</b>      | Equipment maintenance log                 |
| <b>Category</b>         | Event and transaction record              |
| <b>Retention period</b> | 11 years                                  |
| <b>Disposal action</b>  | Review and destroy and no longer required |

### General ophthalmic services: patient records related to NHS financial transactions

|                         |                                                                                    |
|-------------------------|------------------------------------------------------------------------------------|
| <b>Record type</b>      | General ophthalmic services: patient records related to NHS financial transactions |
| <b>Category</b>         | Event and transaction record                                                       |
| <b>Retention period</b> | 6 years                                                                            |
| <b>Disposal action</b>  | Review and destroy if no longer required                                           |

### GP temporary resident forms

|                    |                             |
|--------------------|-----------------------------|
| <b>Record type</b> | GP temporary resident forms |
|--------------------|-----------------------------|

|                         |                                                                                                 |
|-------------------------|-------------------------------------------------------------------------------------------------|
| <b>Category</b>         | Event and transaction record                                                                    |
| <b>Retention period</b> | 2 years                                                                                         |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                        |
| <b>Notes</b>            | This assumes a copy has been sent to the responsible GP for inclusion in the GP patient record. |

### Inspection of equipment records

|                         |                                          |
|-------------------------|------------------------------------------|
| <b>Record type</b>      | Inspection of equipment records          |
| <b>Category</b>         | Event and transaction record             |
| <b>Retention period</b> | 11 years                                 |
| <b>Disposal action</b>  | Review and destroy if no longer required |

### Notifiable diseases book

|                         |                                          |
|-------------------------|------------------------------------------|
| <b>Record type</b>      | Notifiable diseases book*                |
| <b>Category</b>         | Event and transaction record             |
| <b>Retention period</b> | 6 years                                  |
| <b>Disposal action</b>  | Review and destroy if no longer required |

### Operating theatre records

|                         |                              |
|-------------------------|------------------------------|
| <b>Record type</b>      | Operating theatre records    |
| <b>Category</b>         | Event and transaction record |
| <b>Retention period</b> | 10 years                     |

|                        |                                                        |
|------------------------|--------------------------------------------------------|
| <b>Disposal action</b> | Review and consider transfer to PoD                    |
| <b>Notes</b>           | 10 years from the end of the year to which they relate |

### Patient property books

|                         |                                                         |
|-------------------------|---------------------------------------------------------|
| <b>Record type</b>      | Patient property books                                  |
| <b>Category</b>         | Event and transaction record                            |
| <b>Retention period</b> | 2 years                                                 |
| <b>Disposal action</b>  | Review and destroy if no longer required                |
| <b>Notes</b>            | Two years from the end of the year to which they relate |

### Referrals: NOT ACCEPTED

|                         |                                                                                               |
|-------------------------|-----------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Referrals: NOT ACCEPTED                                                                       |
| <b>Category</b>         | Event and transaction record                                                                  |
| <b>Retention period</b> | 2 years                                                                                       |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                      |
| <b>Notes</b>            | Retention period begins from the DATE OF REJECTION.<br>These are seen as an ephemeral record. |

### Requests for care funding: NOT ACCEPTED

|                    |                                         |
|--------------------|-----------------------------------------|
| <b>Record type</b> | Requests for care funding: NOT ACCEPTED |
| <b>Category</b>    | Event and transaction record            |

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|                         |         |
|-------------------------|---------|
| <b>Retention period</b> | 2 years |
|-------------------------|---------|

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|                        |                                          |
|------------------------|------------------------------------------|
| <b>Disposal action</b> | Review and destroy if no longer required |
|------------------------|------------------------------------------|

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|              |                                                                                                                                                                                                                                                                                                                                |
|--------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Notes</b> | Retention period begins from the DATE OF REJECTION.<br>These are seen as an ephemeral record.<br>Please note: These may have potential PoD interest as what the NHS or social care can or cannot fund can sometimes be an issue of local or national significance and public debate. Refer to Appendix III: individual funding |
|--------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

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### **Screening\*: including cervical screening**

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|                    |                                                                                           |
|--------------------|-------------------------------------------------------------------------------------------|
| <b>Record type</b> | Screening*: including cervical screening; where no cancer or illness detected is returned |
|--------------------|-------------------------------------------------------------------------------------------|

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|                 |                              |
|-----------------|------------------------------|
| <b>Category</b> | Event and transaction record |
|-----------------|------------------------------|

---

|                         |          |
|-------------------------|----------|
| <b>Retention period</b> | 10 years |
|-------------------------|----------|

---

|                        |                                          |
|------------------------|------------------------------------------|
| <b>Disposal action</b> | Review and destroy if no longer required |
|------------------------|------------------------------------------|

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|              |                                                                     |
|--------------|---------------------------------------------------------------------|
| <b>Notes</b> | Where cancer is detected, refer to the cancer or oncology schedule. |
|--------------|---------------------------------------------------------------------|

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### **Screening: children**

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|                    |                     |
|--------------------|---------------------|
| <b>Record type</b> | Screening: children |
|--------------------|---------------------|

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|                 |                              |
|-----------------|------------------------------|
| <b>Category</b> | Event and transaction record |
|-----------------|------------------------------|

---

|                         |                           |
|-------------------------|---------------------------|
| <b>Retention period</b> | 10 years or 25th birthday |
|-------------------------|---------------------------|

---

|                        |                                          |
|------------------------|------------------------------------------|
| <b>Disposal action</b> | Review and destroy if no longer required |
|------------------------|------------------------------------------|

---

|              |                                                                                                               |
|--------------|---------------------------------------------------------------------------------------------------------------|
| <b>Notes</b> | Treat as a child health record and retain for either 10 years or up to 25th birthday, whichever is the LONGER |
|--------------|---------------------------------------------------------------------------------------------------------------|

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## Smoking cessation

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|                    |                   |
|--------------------|-------------------|
| <b>Record type</b> | Smoking cessation |
|--------------------|-------------------|

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|                 |                              |
|-----------------|------------------------------|
| <b>Category</b> | Event and transaction record |
|-----------------|------------------------------|

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|                         |         |
|-------------------------|---------|
| <b>Retention period</b> | 2 years |
|-------------------------|---------|

---

|                        |                                          |
|------------------------|------------------------------------------|
| <b>Disposal action</b> | Review and destroy if no longer required |
|------------------------|------------------------------------------|

---

|              |                                                         |
|--------------|---------------------------------------------------------|
| <b>Notes</b> | Retention begins at the end of the 12-week quit period. |
|--------------|---------------------------------------------------------|

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## Transplantation records\*

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|                    |                          |
|--------------------|--------------------------|
| <b>Record type</b> | Transplantation records* |
|--------------------|--------------------------|

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|                 |                              |
|-----------------|------------------------------|
| <b>Category</b> | Event and transaction record |
|-----------------|------------------------------|

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|                         |          |
|-------------------------|----------|
| <b>Retention period</b> | 30 years |
|-------------------------|----------|

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|                        |                                     |
|------------------------|-------------------------------------|
| <b>Disposal action</b> | Review and consider transfer to PoD |
|------------------------|-------------------------------------|

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|              |                                                        |
|--------------|--------------------------------------------------------|
| <b>Notes</b> | Refer to guidance issued by the Human Tissue Authority |
|--------------|--------------------------------------------------------|

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## Ward handover sheets\*

|                         |                                                                                                                                    |
|-------------------------|------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Ward handover sheets*                                                                                                              |
| <b>Category</b>         | Event and transaction record                                                                                                       |
| <b>Retention period</b> | 2 years                                                                                                                            |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                                                           |
| <b>Notes</b>            | This information relates to the ward. Any individual sheets held by staff may be destroyed confidentially at the end of the shift. |

## Appendix II: Retention schedule: Telephony systems and services

This appendix sets out the retention period for different types of telephony records relating to health and care.

This appendix sets out the retention period for different types of telephony records relating to health and care. Where indicated, Appendix III should also be referred to. This sets out further detail relating to the management of specific types and formats of records.

### Recorded conversations:

|                         |                                                                                                                                                |
|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Recorded conversations: which may be needed later for clinical negligence or other legal purpose                                               |
| <b>Category</b>         | Telephony systems and services                                                                                                                 |
| <b>Retention period</b> | 6 years                                                                                                                                        |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                                                                       |
| <b>Notes</b>            | Retention period runs from the date of the call and is intended to cover the Limitation Act 1980. Further guidance is issued by NHS Resolution |

### Recorded conversations: which form part of the health record

|                         |                                                               |
|-------------------------|---------------------------------------------------------------|
| <b>Record type</b>      | Recorded conversations: which form part of the health record* |
| <b>Category</b>         | Telephony systems and services                                |
| <b>Retention period</b> | Treat as a health record                                      |
| <b>Disposal action</b>  | Review and destroy if no longer required                      |
| <b>Notes</b>            | It is advisable to transfer any relevant information into the |

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main record, through transcription or summarisation. Call handlers may perform this task as part of the call. Where it is not possible to transfer clinical information from the recording to the record, the recording must be considered as part of the record and be retained accordingly

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#### **Telephony systems record\***

|                         |                                                                     |
|-------------------------|---------------------------------------------------------------------|
| <b>Record type</b>      | Telephony systems record*                                           |
| <b>Category</b>         | Telephony systems and services                                      |
| <b>Retention period</b> | 1 year                                                              |
| <b>Disposal action</b>  | Review and destroy if no longer required                            |
| <b>Notes</b>            | This is the minimum specified to meet NHS contractual requirements. |

## Appendix II: Retention schedule: Birth, death and adoption record

This appendix sets out the retention period for different types of birth, death and adoption records relating to health and care.

This appendix sets out the retention period for different types of birth, death and adoption records relating to health and care. Where indicated, Appendix III should also be referred to. This sets out further detail relating to the management of specific types and formats of records.

### Birth notification to child health

|                         |                                                                                                                                                                              |
|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Birth notification to child health                                                                                                                                           |
| <b>Category</b>         | Birth, death and adoption record                                                                                                                                             |
| <b>Retention period</b> | 25 years                                                                                                                                                                     |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                                                                                                     |
| <b>Notes</b>            | Retention begins when the notification is received by the child health department. Treat as part of the child's health record if not already stored within the health record |

### Birth registers

|                         |                                                                                                                                                                            |
|-------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Birth registers*                                                                                                                                                           |
| <b>Category</b>         | Birth, death and adoption record                                                                                                                                           |
| <b>Retention period</b> | 2 years                                                                                                                                                                    |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                        |
| <b>Notes</b>            | Where registers of all births that have taken place in a particular hospital or birth centre exist, these will have archival value and should be retained for 25 years and |

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offered to the local PoD at the end of the retention period. Information is also held by the NHS Birth Notification Service electronic system, and by ONS. Other information about a birth must be recorded in the care record

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### Body release forms

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#### Record type

Body release forms\*

---

#### Category

Birth, death and adoption record

---

#### Retention period

2 years

---

#### Disposal action

Review and destroy if no longer required

---

### Death – cause of death certificate counterfoil

---

#### Record

##### type

Death – cause of death certificate counterfoil\*

---

#### Category

Birth, death and adoption record

---

#### Retention period

2 years

---

#### Disposal action

Review and destroy if no longer required

---

#### Notes

These detail the name of the deceased and suspected cause of death (which initially may be different to the final cause of death as stated on the official death certificate). A death notification certificate is issued if a doctor is satisfied there is no suspicious or unexpected circumstances surrounding the death, and the counterfoil retained by the setting that issued the initial cause of death certificate (which is used to obtain the full death certificate from a registrar of births, death and marriages). Cases referred to the coroner would not be able to issue a certificate as the cause would be unknown. These are unlikely to have archival value.

---

## **Death - register information sent to the general registry office on a monthly basis\***

|                         |                                                                                      |
|-------------------------|--------------------------------------------------------------------------------------|
| <b>Record type</b>      | Death - register information sent to the general registry office on a monthly basis* |
| <b>Category</b>         | Birth, death and adoption record                                                     |
| <b>Retention period</b> | 2 years                                                                              |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                  |
| <b>Notes</b>            | A full dataset is available from ONS                                                 |

## **Local authority adoption record**

|                         |                                                                                                                                                                                                                                                                               |
|-------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Local authority adoption record (usually held by the LA)*                                                                                                                                                                                                                     |
| <b>Category</b>         | Birth, death and adoption record                                                                                                                                                                                                                                              |
| <b>Retention period</b> | 100 years                                                                                                                                                                                                                                                                     |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                                                                                                                           |
| <b>Notes</b>            | The local authority Children's Social Care Team hold the primary record of the adoption process. Consider transferring to PoD only if there are known gaps in the primary local authority record, or the records pre-date 1976. Also refer to Appendix III: adoption records. |

## **Mortuary records of deceased person**

|                    |                                     |
|--------------------|-------------------------------------|
| <b>Record type</b> | Mortuary records of deceased person |
| <b>Category</b>    | Birth, death and adoption record    |

|                         |                                                              |
|-------------------------|--------------------------------------------------------------|
| <b>Retention period</b> | 10 years                                                     |
| <b>Disposal action</b>  | Review and consider transfer to PoD                          |
| <b>Notes</b>            | Retention begins at the end of the year to which they relate |

---

## Mortuary register

|                         |                                     |
|-------------------------|-------------------------------------|
| <b>Record type</b>      | Mortuary register*                  |
| <b>Category</b>         | Birth, death and adoption record    |
| <b>Retention period</b> | 10 years                            |
| <b>Disposal action</b>  | Review and consider transfer to PoD |

---

## NHS medicals for adoption records

|                         |                                    |
|-------------------------|------------------------------------|
| <b>Record type</b>      | NHS medicals for adoption records* |
| <b>Category</b>         | Birth, death and adoption record   |
| <b>Retention period</b> | 8 years or 25th birthday           |

**Disposal action** Review and consider transfer to PoD

**Notes** The health reports will feed into the primary record held by the local authority. This means that adoption records held in the NHS relate to reports that are already kept in another file, which is kept for 100 years by the relevant agency or local authority. Consider transferring to PoD only if there are known gaps in the primary local authority record or the records pre-date 1976.  
Also refer to Appendix III: adopted persons health records

## Post-mortem records\*

|                         |                                          |
|-------------------------|------------------------------------------|
| <b>Record type</b>      | Post-mortem records*                     |
| <b>Category</b>         | Birth, death and adoption record         |
| <b>Retention period</b> | 10 years                                 |
| <b>Disposal action</b>  | Review and destroy if no longer required |

### Notes

The coroner will maintain and retain the primary post-mortem file including the report. Hospital post-mortem records will not need to be kept for the same extended time period as subject to local policy these reports may also be kept in the medical file.

## Appendix II: Retention schedule: Clinical trials and research

This appendix sets out the retention period for different types of clinical trials and research relating to health and care.

This appendix sets out the retention period for different types of clinical records relating to health and care. Where indicated, Appendix III should also be referred to. This sets out further detail relating to the management of specific types and formats of records.

### Advanced medical therapy research: master file

|                         |                                                |
|-------------------------|------------------------------------------------|
| <b>Record type</b>      | Advanced medical therapy research: master file |
| <b>Category</b>         | Clinical trials and research                   |
| <b>Retention period</b> | 20 years                                       |
| <b>Disposal action</b>  | Review and consider transfer to PoD            |

### Clinical trials: applications for ethical approval

|                         |                                                    |
|-------------------------|----------------------------------------------------|
| <b>Record type</b>      | Clinical trials: applications for ethical approval |
| <b>Category</b>         | Clinical trials and research                       |
| <b>Retention period</b> | 5 years                                            |
| <b>Disposal action</b>  | Review and consider transfer to PoD                |

#### Notes

Master file of a trial authorised under the European portal, under Regulation 536/2014.

For clinical trials records retention refer to the MHRA guidance. The sponsor of the study will be the primary holder of the study file and associated data. This is based on the Medicines for Human Use (Clinical Trials) Amendment Regulations 2006, specifically Regulations 18 and 28.

### European Commission Authorisation

|                         |                                                                                                                      |
|-------------------------|----------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | European Commission Authorisation (certificate or letter) to enable marketing and sale within EU member state's area |
| <b>Category</b>         | Clinical trials and research                                                                                         |
| <b>Retention period</b> | 15 years                                                                                                             |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                  |

## Research: datasets

**Record type** Research: datasets

Category Clinical trials and research

Retention No longer than 20 years  
period

Disposal Review and consider transfer to PoD  
action

## Research: ethics committee's and HRA approval documentation for research proposal and records to process patient information without consent

**Record type** Research: ethics committee's and HRA approval documentation for research proposal and records to process patient information without consent

**Category** Clinical trials and research

**Retention period** 5 years

**Disposal action** Review and consider transfer to PoD

|              |                                                                                                                                  |
|--------------|----------------------------------------------------------------------------------------------------------------------------------|
| <b>Notes</b> | This applies to trials where opinions are given to proceed with the trial, or not to proceed. These may also have archival value |
|--------------|----------------------------------------------------------------------------------------------------------------------------------|

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## **Research: ethics committee's minutes**

|                    |                                                                                                         |
|--------------------|---------------------------------------------------------------------------------------------------------|
| <b>Record type</b> | Research: ethics committee's minutes (including records to process patient information without consent) |
|--------------------|---------------------------------------------------------------------------------------------------------|

|                 |                              |
|-----------------|------------------------------|
| <b>Category</b> | Clinical trials and research |
|-----------------|------------------------------|

|                         |          |
|-------------------------|----------|
| <b>Retention period</b> | 20 years |
|-------------------------|----------|

|                        |                                     |
|------------------------|-------------------------------------|
| <b>Disposal action</b> | Review and consider transfer to PoD |
|------------------------|-------------------------------------|

|              |                                                                                                                                         |
|--------------|-----------------------------------------------------------------------------------------------------------------------------------------|
| <b>Notes</b> | Retention period begins from the year to which they relate and can be as long as 20 years. Committee minutes must be transferred to PoD |
|--------------|-----------------------------------------------------------------------------------------------------------------------------------------|

## Appendix II: Retention schedule: Corporate governance

This appendix sets out the retention period for different types of corporate governance records relating to health and care.

This appendix sets out the retention period for different types of corporate governance records relating to health and care. Where indicated, Appendix III should also be referred to. This sets out further detail relating to the management of specific types and formats of records.

### Board meetings

|                         |                                                                                                                                                                                                                                                                              |
|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Board meetings*                                                                                                                                                                                                                                                              |
| <b>Category</b>         | Corporate governance                                                                                                                                                                                                                                                         |
| <b>Retention period</b> | Up to 20 years                                                                                                                                                                                                                                                               |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                                                                                                                          |
| <b>Notes</b>            | A local decision can be made on how long to retain the minutes of board meetings, and associated papers linked to the board meeting, but this must not exceed 20 years, and will be required to be transferred to the local PoD or the National Archive for National Bodies. |

### Board meetings: closed boards

|                         |                                     |
|-------------------------|-------------------------------------|
| <b>Record type</b>      | Board meetings: closed boards*      |
| <b>Category</b>         | Corporate governance                |
| <b>Retention period</b> | Up to 20 years                      |
| <b>Disposal action</b>  | Review and consider transfer to PoD |

|              |                                                                                                                                                                                                                                 |
|--------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Notes</b> | Although these may still contain confidential or sensitive material, they are still a public record and must be transferred at 20 years, and any FOI exemptions noted, or indications that the duty of confidentiality applies. |
|--------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

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### Chief executive records

|                         |                                                                                                |
|-------------------------|------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Chief executive records*                                                                       |
| <b>Category</b>         | Corporate governance                                                                           |
| <b>Retention period</b> | Up to 20 years                                                                                 |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                            |
| <b>Notes</b>            | This may include emails and correspondence where they are not already included in board papers |

---

### Committees: major, listed in Scheme of delegation or report direct into the board, including major projects

|                         |                                                                                                              |
|-------------------------|--------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Committees: major, listed in Scheme of delegation or report direct into the board, including major projects* |
| <b>Category</b>         | Corporate governance                                                                                         |
| <b>Retention period</b> | Up to 20 years                                                                                               |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                          |

---

### Committees: minor, not listed in scheme of delegation

|                    |                                                        |
|--------------------|--------------------------------------------------------|
| <b>Record type</b> | Committees: minor, not listed in scheme of delegation* |
| <b>Category</b>    | Corporate governance                                   |

|                         |                                                                                                                                               |
|-------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Retention period</b> | 6 years                                                                                                                                       |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                           |
| <b>Notes</b>            | Includes minor meetings, projects, and departmental business meetings. These may have local historical value required transfer consideration. |

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### Corporate records of health and care organisations and providers that pre-date the NHS, July 1948

|                         |                                                                                                                                                                                                                          |
|-------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Corporate records of health and care organisations and providers that pre-date the NHS, July 1948                                                                                                                        |
| <b>Category</b>         | Corporate governance                                                                                                                                                                                                     |
| <b>Retention period</b> | -                                                                                                                                                                                                                        |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                                                                      |
| <b>Notes</b>            | Contact your local PoD to arrange review and transfer. Records not selected by the PoD must be securely destroyed. An example might be the minutes of the hospital board from 1932, or midwifery diaries dated Dec 1922. |

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### Data Protection Impact Assessments (DPIAs)

|                         |                                            |
|-------------------------|--------------------------------------------|
| <b>Record type</b>      | Data Protection Impact Assessments (DPIAs) |
| <b>Category</b>         | Corporate governance                       |
| <b>Retention period</b> | 6 years                                    |

|                        |                                                                                                                                                                   |
|------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Disposal action</b> | Review and destroy if no longer required                                                                                                                          |
| <b>Notes</b>           | Should be kept for the life of the activity to which it relates, plus six years after that activity ends. If the DPIA was one - off, then 6 years from completion |

## **Destruction certificates or record of information held on destroyed physical media**

|                         |                                                                                                                                                                                                             |
|-------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Destruction certificates or record of information held on destroyed physical media                                                                                                                          |
| <b>Category</b>         | Corporate governance                                                                                                                                                                                        |
| <b>Retention period</b> | Up to 20 years                                                                                                                                                                                              |
| <b>Disposal action</b>  | Review and dispose of if no longer required                                                                                                                                                                 |
| <b>Notes</b>            | Where a record is listed for potential transfer to PoD have been destroyed without adequate appraisal, consideration should be given to a selection of these as an indicator of what has not been preserved |

## **Electronic metadata destruction stubs**

|                         |                                       |
|-------------------------|---------------------------------------|
| <b>Record type</b>      | Electronic metadata destruction stubs |
| <b>Category</b>         | Corporate governance                  |
| <b>Retention period</b> | -                                     |
| <b>Disposal action</b>  | -                                     |
| <b>Notes</b>            | Refer to destruction certificates     |

**Incidents: serious**

|                         |                                                                                    |
|-------------------------|------------------------------------------------------------------------------------|
| <b>Record type</b>      | Incidents: serious                                                                 |
| <b>Category</b>         | Corporate governance                                                               |
| <b>Retention period</b> | Up to 20 years                                                                     |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                |
| <b>Notes</b>            | Retention begins from the date of the Incident; not when the incident was reported |

**Incidents: not serious**

|                         |                                                                                    |
|-------------------------|------------------------------------------------------------------------------------|
| <b>Record type</b>      | Incidents: not serious                                                             |
| <b>Category</b>         | Corporate governance                                                               |
| <b>Retention period</b> | 10 years                                                                           |
| <b>Disposal action</b>  | Review and destroy if no longer required                                           |
| <b>Notes</b>            | Retention begins from the date of the Incident; not when the incident was reported |

**Incidents: serious incidents requiring investigation**

|                         |                                                      |
|-------------------------|------------------------------------------------------|
| <b>Record type</b>      | Incidents: serious incidents requiring investigation |
| <b>Category</b>         | Corporate governance                                 |
| <b>Retention period</b> | Up to 20 years                                       |

|                        |                                                                                                                                                                                        |
|------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Disposal action</b> | Review and consider transfer to PoD                                                                                                                                                    |
| <b>Notes</b>           | <p>These include independent investigations into incidents.</p> <p>These may have permanent retention value so consult with the local PoD. If they are not required, then destroy.</p> |

## Non-clinical QA records

|                         |                                                                          |
|-------------------------|--------------------------------------------------------------------------|
| <b>Record type</b>      | Non-clinical QA records                                                  |
| <b>Category</b>         | Corporate governance                                                     |
| <b>Retention period</b> | 12 years                                                                 |
| <b>Disposal action</b>  | Review and destroy if no longer required                                 |
| <b>Notes</b>            | Retention begins from the end of the year to which the assurance relates |

## Patient advice and liaison service (PALS) records

|                         |                                                                                   |
|-------------------------|-----------------------------------------------------------------------------------|
| <b>Record type</b>      | Patient advice and liaison service (PALS) records                                 |
| <b>Category</b>         | Corporate governance                                                              |
| <b>Retention period</b> | 10 years                                                                          |
| <b>Disposal action</b>  | Review and destroy if no longer required                                          |
| <b>Notes</b>            | Retention begins from the close of the financial year to which the record relates |

## Patient surveys: individual returns and analysis

|                         |                                                  |
|-------------------------|--------------------------------------------------|
| <b>Record type</b>      | Patient surveys: individual returns and analysis |
| <b>Category</b>         | Corporate governance                             |
| <b>Retention period</b> | 1 year after return                              |
| <b>Disposal action</b>  | Review and destroy if no longer required         |
| <b>Notes</b>            | May be required again if analysis is reviewed    |

## Patient surveys: final report

|                         |                                                                                                                                                                                                                |
|-------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Patient surveys: final report                                                                                                                                                                                  |
| <b>Category</b>         | Corporate governance                                                                                                                                                                                           |
| <b>Retention period</b> | 10 years                                                                                                                                                                                                       |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                                                            |
| <b>Notes</b>            | Organisations may want to keep final reports for longer than the raw data and analysis, for trend analysis over time. This period can be extended, provided there is justification and organisational approval |

## Policies, strategies and operating procedures, including business plans

|                    |                                                                          |
|--------------------|--------------------------------------------------------------------------|
| <b>Record type</b> | Policies, strategies and operating procedures, including business plans* |
| <b>Category</b>    | Corporate governance                                                     |

|                         |                                                                                                                                                                          |
|-------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Retention period</b> | Life of organisation plus 6 years                                                                                                                                        |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                      |
| <b>Notes</b>            | Retention begins from when the document is approved, until superseded. If the retention period reaches 20 years from the date of approval, then consider transfer to PoD |

#### Quarterly reviews from NHS trusts

|                         |                                                             |
|-------------------------|-------------------------------------------------------------|
| <b>Record type</b>      | Quarterly reviews from NHS trusts                           |
| <b>Category</b>         | Corporate governance                                        |
| <b>Retention period</b> | 6 years                                                     |
| <b>Disposal action</b>  | Review and destroy if no longer required                    |
| <b>Notes</b>            | Retention period in accordance with the Limitation Act 1980 |

#### Risk registers

|                         |                                                                                         |
|-------------------------|-----------------------------------------------------------------------------------------|
| <b>Record type</b>      | Risk registers                                                                          |
| <b>Category</b>         | Corporate governance                                                                    |
| <b>Retention period</b> | 6 years                                                                                 |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                |
| <b>Notes</b>            | Retention period in accordance with the Limitation Act and corporate awareness of risks |

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### Staff surveys: individual returns and analysis

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|                    |                                                |
|--------------------|------------------------------------------------|
| <b>Record type</b> | Staff surveys: individual returns and analysis |
|--------------------|------------------------------------------------|

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|                 |                      |
|-----------------|----------------------|
| <b>Category</b> | Corporate governance |
|-----------------|----------------------|

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|                         |                     |
|-------------------------|---------------------|
| <b>Retention period</b> | 1 year after return |
|-------------------------|---------------------|

---

|                        |                                          |
|------------------------|------------------------------------------|
| <b>Disposal action</b> | Review and destroy if no longer required |
|------------------------|------------------------------------------|

---

|              |                                                                                                                             |
|--------------|-----------------------------------------------------------------------------------------------------------------------------|
| <b>Notes</b> | Forms are anonymous so do not contain PID unless provided in free text boxes. May be required again if analysis is reviewed |
|--------------|-----------------------------------------------------------------------------------------------------------------------------|

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### Staff surveys: final report

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|                    |                             |
|--------------------|-----------------------------|
| <b>Record type</b> | Staff surveys: final report |
|--------------------|-----------------------------|

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|                 |                      |
|-----------------|----------------------|
| <b>Category</b> | Corporate governance |
|-----------------|----------------------|

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|                         |          |
|-------------------------|----------|
| <b>Retention period</b> | 10 years |
|-------------------------|----------|

---

|                        |                                     |
|------------------------|-------------------------------------|
| <b>Disposal action</b> | Review and consider transfer to PoD |
|------------------------|-------------------------------------|

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|              |                                                                                                                                                                                                                |
|--------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Notes</b> | Organisations may want to keep final reports for longer than the raw data and analysis, for trend analysis over time. This period can be extended, provided there is justification and organisational approval |
|--------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

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### Trust submission forms

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|                    |                        |
|--------------------|------------------------|
| <b>Record type</b> | Trust submission forms |
|--------------------|------------------------|

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|                 |                      |
|-----------------|----------------------|
| <b>Category</b> | Corporate governance |
|-----------------|----------------------|

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|                         |         |
|-------------------------|---------|
| <b>Retention period</b> | 6 years |
|-------------------------|---------|

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|                        |                                          |
|------------------------|------------------------------------------|
| <b>Disposal action</b> | Review and destroy if no longer required |
|------------------------|------------------------------------------|

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**Notes**

Retention period in accordance with the Limitation Act 1980

## Appendix II: Retention schedule: Communication

This appendix sets out the retention period for different types of communications records relating to health and care.

This appendix sets out the retention period for different types of communications records relating to health and care. Where indicated, Appendix III should also be referred to. This sets out further detail relating to the management of specific types and formats of records.

### Intranet site

|                         |                                     |
|-------------------------|-------------------------------------|
| <b>Record type</b>      | Intranet site*                      |
| <b>Category</b>         | Communications                      |
| <b>Retention period</b> | 6 years                             |
| <b>Disposal action</b>  | Review and consider transfer to PoD |

### Patient information leaflets

|                         |                                                                                                                          |
|-------------------------|--------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Patient information leaflets                                                                                             |
| <b>Category</b>         | Communication                                                                                                            |
| <b>Retention period</b> | 6 years                                                                                                                  |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                      |
| <b>Notes</b>            | These do not need to be leaflets from every part of the organisation. A central copy can be kept for potential transfer. |

### Press releases and important internal communication

|                         |                                                                                                                          |
|-------------------------|--------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Press releases and important internal communication                                                                      |
| <b>Category</b>         | Communication                                                                                                            |
| <b>Retention period</b> | 6 years                                                                                                                  |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                      |
| <b>Notes</b>            | Press releases may form part of a significant part of the public record of an organisation which may need to be retained |

## Public consultations

|                         |                                                                                                                                                                                                                              |
|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Public consultations                                                                                                                                                                                                         |
| <b>Category</b>         | Communications                                                                                                                                                                                                               |
| <b>Retention period</b> | 5 years                                                                                                                                                                                                                      |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                                                                          |
| <b>Notes</b>            | Whilst these have a shorter retention period, there may be wider public interest in the outcome of the consultation, particularly where this resulted in changes to the services provided, and so may have historical value. |

## Website

|                    |                |
|--------------------|----------------|
| <b>Record type</b> | Website*       |
| <b>Category</b>    | Communications |

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|                         |         |
|-------------------------|---------|
| <b>Retention period</b> | 6 years |
|-------------------------|---------|

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|                        |                                     |
|------------------------|-------------------------------------|
| <b>Disposal action</b> | Review and consider transfer to PoD |
|------------------------|-------------------------------------|

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**Notes**

The PoD may be able to receive these by a regular crawl.  
Consult with the PoD on how to manage the process.  
Websites are complex objects, but crawls can be made more effective if certain steps are taken.

## Appendix II: Retention schedule: Staff records and occupational health

This appendix sets out the retention period for different types of staff records and occupational health relating to health and care.

This appendix sets out the retention period for different types of staff records and occupational health relating to health and care. Where indicated, Appendix III should also be referred to. This sets out further detail relating to the management of specific types and formats of records.

### Duty roster

|                         |                                                       |
|-------------------------|-------------------------------------------------------|
| <b>Record type</b>      |                                                       |
|                         | Duty roster                                           |
| <b>Category</b>         | Staff records and occupational health                 |
| <b>Retention period</b> | 6 years                                               |
| <b>Disposal action</b>  | Review and if no longer needed destroy                |
| <b>Notes</b>            | Retention begins from the close of the financial year |

### Exposure monitoring information

|                                                    |                                                                                                                                                                   |
|----------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b> Exposure monitoring information |                                                                                                                                                                   |
| <b>Category</b>                                    | Staff records and occupational health                                                                                                                             |
| <b>Retention period</b>                            | 40 years or 5 years from the date of the last entry made in it                                                                                                    |
| <b>Disposal action</b>                             | Review and if no longer needed destroy                                                                                                                            |
| <b>Notes</b>                                       | A. Where the record is representative of the personal exposures of identifiable employees, for at least 40 years or<br>B. In any other case, for at least 5 years |

## Occupational health report

|                         |                                                                                        |
|-------------------------|----------------------------------------------------------------------------------------|
| <b>Record type</b>      | Occupational health report                                                             |
| <b>Category</b>         | Staff records and occupational health                                                  |
| <b>Retention period</b> | Keep until 75th birthday or 6 years after the staff member leaves which ever is sooner |
| <b>Disposal action</b>  | Review and if no longer needed destroy                                                 |

## Occupational health report of staff member under health surveillance

|                         |                                                                      |
|-------------------------|----------------------------------------------------------------------|
| <b>Record type</b>      | Occupational health report of staff member under health surveillance |
| <b>Category</b>         | Staff records and occupational health                                |
| <b>Retention period</b> | Keep until 75th birthday                                             |
| <b>Disposal action</b>  | Review and if no longer needed destroy                               |

## Occupational health report of staff member under health surveillance where they have been subject to radiation doses

|                         |                                                                                                                      |
|-------------------------|----------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Occupational health report of staff member under health surveillance where they have been subject to radiation doses |
| <b>Category</b>         | Staff records and occupational health                                                                                |
| <b>Retention period</b> | 50 years from the date of the last entry or until 75th birthday, whichever is longer                                 |
| <b>Disposal action</b>  | Review and if no longer needed destroy                                                                               |

## Staff record

|                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|-------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Staff record                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>Category</b>         | Staff records and occupational health                                                                                                                                                                                                                                                                                                                                                                                                             |
| <b>Retention period</b> | Keep until 75th birthday (see notes)                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Disposal action</b>  | Review, and consider transfer to PoD                                                                                                                                                                                                                                                                                                                                                                                                              |
| <b>Notes</b>            | <p>This includes, but is not limited to, evidence of right to work, security checks and recruitment documentation for the successful candidate including job adverts and application forms. Some PoDs accession NHS staff records for social history purposes. Check with your local PoD about possible accession. If the PoD does not accession them, then the records can be securely destroyed once the retention period has been reached.</p> |

## Staff record: summary

|                         |                                                                                                                                                                                                                                                                                                                                                                          |
|-------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Staff record: summary                                                                                                                                                                                                                                                                                                                                                    |
| <b>Category</b>         | Staff records and occupational health                                                                                                                                                                                                                                                                                                                                    |
| <b>Retention period</b> | 75th birthday                                                                                                                                                                                                                                                                                                                                                            |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                                                                                                                                                                                                                                                      |
| <b>Notes</b>            | <p>See the good practice box staff record summary used by an organisation. Some organisations create summaries after a period of time since the staff member left (usually 6 years). This practice is ok to continue if this is what currently occurs. The summary, however, needs to be kept until the staff member's 75th birthday, and then consider transferring</p> |

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to PoD. If the PoD does not require them, then they can be securely destroyed at this point.

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### **Timesheets (original record)**

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|                         |                                        |
|-------------------------|----------------------------------------|
| <b>Record type</b>      | Timesheets (original record)           |
| <b>Category</b>         | Staff records and occupational health  |
| <b>Retention period</b> | 2 years                                |
| <b>Disposal action</b>  | Review and if no longer needed destroy |
| <b>Notes</b>            | Retention begins from creation         |

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### **Staff training records**

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|                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Staff training records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |
| <b>Category</b>         | Staff records and occupational health                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Retention period</b> | See notes                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Disposal action</b>  | Records of significant training must be kept until 75th birthday or 6 years after the staff member leaves. It can be difficult to categorise staff training records as significant as this can depend upon the staff member's role. The following is recommended: Clinical training records - to be retained until 75th birthday or six years after the staff member leaves, whichever is the longer.<br>Statutory and mandatory training records - to be kept for ten years after training completed. Other training records - keep for six years after training completed. |

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### **Disciplinary records**

|                         |                                                                                                                                                                                                                                                                                                                                                                                                             |
|-------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Disciplinary records                                                                                                                                                                                                                                                                                                                                                                                        |
| <b>Category</b>         | Staff records and occupational health                                                                                                                                                                                                                                                                                                                                                                       |
| <b>Retention period</b> | Retain for 6 years                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Disposal action</b>  | Review and destroy if no longer required                                                                                                                                                                                                                                                                                                                                                                    |
| <b>Notes</b>            | Retention begins once the case is heard and any appeal process completed. The record may be retained for longer, but this will be a local decision based on the facts of the case. The more serious the case, the more likely it will attract a longer retention period. Likewise, a one-off incident may need to only be kept for the minimum time stated. This applies to all cases, regardless of format |

## Appendix II: Retention schedule: Procurement

This appendix sets out the retention period for different types of telephony records relating to health and care.

This appendix sets out the retention period for different types of procurement records relating to health and care. Where indicated, Appendix III should also be referred to. This sets out further detail relating to the management of specific types and formats of records.

### Contracts sealed or unsealed

|                         |                                                  |
|-------------------------|--------------------------------------------------|
| <b>Record type</b>      | Contracts sealed or unsealed                     |
| <b>Category</b>         | Procurement                                      |
| <b>Retention period</b> | Retain for 6 years after the end of the contract |
| <b>Disposal action</b>  | Review and if no longer needed destroy           |

### Contracts - financial approval files

|                         |                                                   |
|-------------------------|---------------------------------------------------|
| <b>Record type</b>      | Contracts - financial approval files              |
| <b>Category</b>         | Procurement                                       |
| <b>Retention period</b> | Retain for 15 years after the end of the contract |
| <b>Disposal action</b>  | Review and destroy if no longer required          |

### Contracts - financial approved suppliers documentation

|                         |                                                        |
|-------------------------|--------------------------------------------------------|
| <b>Record type</b>      | Contracts - financial approved suppliers documentation |
| <b>Category</b>         | Procurement                                            |
| <b>Retention period</b> | Retain for 11 years after the end of the contract      |
| <b>Disposal action</b>  | Review and if no longer needed destroy                 |

### **Tenders (successful)**

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**Record type**

Tenders (successful)

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**Category**

Procurement

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**Retention period**

Retain for 6 years after the end of the contract

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**Disposal action**

Review and if no longer needed destroy

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### **Tenders (unsuccessful)**

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**Record type**

Tenders (unsuccessful)

---

**Category**

Procurement

---

**Retention period**

Retain for 6 years after the end of the contract

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**Disposal action**

Review and if no longer needed destroy

## **Appendix II: Retention schedule: Estates**

This appendix sets out the retention period for different types of estates records relating to health and care.

This appendix sets out the retention period for different types of estates records relating to health and care. Where indicated, Appendix III should also be referred to. This sets out further detail relating to the management of specific types and formats of records.

### **About the retention schedule**

The following information is important to ensure the retention schedule is used correctly

The following information is important to ensure the retention schedule is used correctly

The retention periods listed in this retention schedule must always be considered the minimum period. With justification, a retention period can be extended for the majority of cases, up to 20 years (refer to section five of the Code). For more information, refer to R v Northumberland County Council and the Information Commissioner (23 July 2015). This provides assurance that it is legitimate to vary common practice or guidance where a well-reasoned case for doing so is made.

Retention periods begin when the record ceases to be operational. This is usually at the point of discharge from care when the record is no longer required for current on-going business, or the patient or service user has died. There are some exceptions to this rule, whereby the retention begins from the date the record is created (for corporate records, such as policies, the retention may start from the date of publication). These are marked with an asterisk (\*) in the schedule and may also contain further information in the notes for that entry.

If a record comes back into use during its retention period, then the retention period will reset and begin again from the end of the second period of use. This may mean that records will look as if they are being kept for longer than the retention times stated here, or even [maximum periods as suggested by law](#), but this is acceptable where retention periods reset due to use (refer to section five of the Code).

The actions following review as set out in the schedule are as follows:

### **Review and destroy if no longer required**

Destroy refers to the confidential and secure destruction of the record with proof of destruction. These will be records with no archival value and there is no longer an ongoing business need to retain them for longer.

### **Review and dispose of if no longer required**

"Dispose of" refers to the secure destruction of a record OR the transferral to the appointed PoD for permanent preservation. A certificate of transfer will be provided as proof of transfer (and can act as evidence of disposal). Refer to section five of the Code for further information about permanent preservation.

### **Review and consider transfer to PoD**

This refers to records that are more likely to be transferred to the PoD, subject to their discussion and agreement about potential accession. Not all records considered for accession will be taken by the PoD. If the record has been offered and declined to be taken, and it has no further retention value, then it must be securely destroyed. Where you have potentially a new series of records for the PoD, you must discuss accessioning them before any action is taken.

### **Review and transfer to PoD**

This refers to records that should be transferred to the PoD such as trust board minutes and final annual financial report - local agreement will already be in place to accession these.

It is very important that any health and care records are reviewed before they are destroyed. This review should take into account:

- serious incidents which will require records to be retained for up to 20 years as set out in the schedule
- use of the record during the retention period which could extend its retention
- potential for long-term archival preservation - this may particularly be the case where the records relate to rare conditions such as Creutzfeldt-Jakob Disease records or innovative treatments, for example, new cancer treatments

If setting a retention period not covered by this Code, there are a number of factors to consider including:

### **Legal or regulatory obligations**

There may be a specific legal or regulatory reason to keep a record, which may also provide guidance on how long that record needs to be kept to meet that obligation.

### **Purpose of the record**

The reasons you have created the record may also help define how long you need to keep them for. A record created for medico-legal reasons may need to be for a long period of time, whereas a record created for a specific event that has no post-event actions will attract a short retention period.

### **Number of records**

The number of records in a series can help you set a retention period. It is worth noting that the number of records is not directly proportionate to a longer retention period (for example, the more records created, then the longer they must be kept). It should also be noted that the number of records is also not indicative of historical value. Due to its type, one record may have historical value, where a series of 200+ records might not.

### **Service delivery**

The uniqueness or niche way a service is delivered may lend itself to a longer retention period. PoDs can be interested in taking records relating to services that were delivered in a unique way.

### **Call or recall of records**

If a record or series has a low recall rate, it could be indicative of a shorter retention period. Likewise records that are continually in use may require a longer retention period.

The above list is not exhaustive.

### **Building plans, including records of major building works**

|                         |                                                                                                                                                |
|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Building plans, including records of major building works                                                                                      |
| <b>Category</b>         | Estates                                                                                                                                        |
| <b>Retention period</b> | Review and consider transfer to PoD                                                                                                            |
| <b>Disposal action</b>  | Building plans and records of works are potentially of historical interest and where possible, should be kept and transferred to the local PoD |

### **Closed circuit television (CCTV)**

|                         |                                                                      |
|-------------------------|----------------------------------------------------------------------|
| <b>Record type</b>      | Closed circuit television (CCTV)                                     |
| <b>Category</b>         | Estates                                                              |
| <b>Retention period</b> | Refer to <a href="#">ICO guidance on CCTV and Video surveillance</a> |

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|                        |                                          |
|------------------------|------------------------------------------|
| <b>Disposal action</b> | Review and destroy if no longer required |
|------------------------|------------------------------------------|

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**Notes**

The length of retention must be determined by the purpose for which the CCTV has been used. CCTV footage must remain viewable for the length of time it is retained, and where possible, systems should have redaction or censoring functionality to be able to blank out the faces of people who are captured by the CCTV, but not subject to the access request, for example, police reviewing CCTV as part of an investigation

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**Equipment monitoring, and testing and maintenance work where ASBESTOS is a factor**

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**Record type**

Equipment monitoring, and testing and maintenance work where ASBESTOS is a factor

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|                 |         |
|-----------------|---------|
| <b>Category</b> | Estates |
|-----------------|---------|

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|                         |          |
|-------------------------|----------|
| <b>Retention period</b> | 40 years |
|-------------------------|----------|

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|                        |                                        |
|------------------------|----------------------------------------|
| <b>Disposal action</b> | Review and if no longer needed destroy |
|------------------------|----------------------------------------|

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|              |                                                                                                                                                                                                                              |
|--------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Notes</b> | Retention begins from the completion of the monitoring or testing.<br><br>This includes records of air monitoring and health records relating to asbestos exposure, as required by the Control of Asbestos Regulations 2012. |
|--------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

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**Equipment monitoring : general testing and maintenance work**

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**Record type**

Equipment monitoring : general testing and maintenance work

|                         |                                                                      |
|-------------------------|----------------------------------------------------------------------|
| <b>Category</b>         | Estates                                                              |
| <b>Retention period</b> | Lifetime of installation                                             |
| <b>Disposal action</b>  | Review and destroy if no longer required                             |
| <b>Notes</b>            | Retention begins from the completion of the testing and maintenance. |

## Inspection reports

|                         |                                                                                                                                                                       |
|-------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Inspection reports                                                                                                                                                    |
| <b>Category</b>         | Estates                                                                                                                                                               |
| <b>Retention period</b> | Lifetime of installation                                                                                                                                              |
| <b>Disposal action</b>  | Review and dispose of if no longer required                                                                                                                           |
| <b>Notes</b>            | Retention begins at the END of the installation period.<br>Building inspection records need to comply with the Construction (Design and Management) Regulations 2015. |

## Leases

|                         |                                             |
|-------------------------|---------------------------------------------|
| <b>Record type</b>      | Inspection reports                          |
| <b>Category</b>         | Estates                                     |
| <b>Retention period</b> | Lifetime of installation                    |
| <b>Disposal action</b>  | Review and dispose of if no longer required |

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**Notes**

Retention begins at the END of the installation period.  
Building inspection records need to comply with the  
Construction (Design and Management) Regulations 2015.

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**Minor building works**

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**Record type** Minor building works

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**Category**  
Estates

---

**Retention period**  
6 years

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**Disposal action**  
Review and dispose of if no longer required

---

**Notes**  
Retention begins at the point of WORKS COMPLETION

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**Photographic collections: service locations, events and activities**

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**Record type**  
Photographic collections: service locations, events and  
activities

---

**Category**  
Estates

---

**Retention period**  
Up to 20 years

---

**Disposal action**  
Review and consider transfer to PoD

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**Notes**  
These provide a visual historical legacy of the running and  
operation of an organisation. They may also provide  
secondary uses, such as use in public inquiries

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**Radioactive records**

|                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              |
|-------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Radioactive records                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
| <b>Category</b>         | Estates                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |
| <b>Retention period</b> | 30 years                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |
| <b>Disposal action</b>  | Review and dispose of if no longer required                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| <b>Notes</b>            | <p>Retention begins at the CREATION of the waste.</p> <p>If a person handling radioactive waste is exposed to radiation (accidental or otherwise), then the records relating to that person must be kept until they reach 75 years of age or would have attained that age. In any event, records must be kept for at least 30 years from the date of dosing or accident. This also includes patients or service users who require medical exposure to radiation, as required by the Ionising Radiation Regulations 2017.</p> |

#### **Sterilix Endoscopic Disinfector Daily Water Cycle Test, Purge Test, Ninhydrin Test**

|                         |                                                                                    |
|-------------------------|------------------------------------------------------------------------------------|
| <b>Record type</b>      | Sterilix Endoscopic Disinfector Daily Water Cycle Test, Purge Test, Ninhydrin Test |
| <b>Category</b>         | Estates                                                                            |
| <b>Retention period</b> | 11 years                                                                           |
| <b>Disposal action</b>  | Review and dispose of if no longer required                                        |
| <b>Notes</b>            | Retention begins from the DATE OF TEST                                             |

#### **Surveys: building or installation, not patient surveys**

|                         |                                                                                                                                       |
|-------------------------|---------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Surveys: building or installation, not patient surveys                                                                                |
| <b>Category</b>         | Estates                                                                                                                               |
| <b>Retention period</b> | Lifetime of installation or building                                                                                                  |
| <b>Disposal action</b>  | Review and consider transfer to PoD                                                                                                   |
| <b>Notes</b>            | Retention period begins at the END of INSTALLATION period.<br>See <b><u>Inspection reports</u></b> for legal basis for these records. |

## Appendix II: Retention schedule: Finance

This appendix sets out the retention period for different types of finance records relating to health and care.

This appendix sets out the retention period for different types of finance records relating to health and care. Where indicated, Appendix III should also be referred to. This sets out further detail relating to the management of specific types and formats of records.

### Accounts

|                             |                                                                                                                                                       |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b> Accounts |                                                                                                                                                       |
| <b>Category</b>             | Finance                                                                                                                                               |
| <b>Retention period</b>     | 3 years                                                                                                                                               |
| <b>Disposal action</b>      | Review and destroy if no longer required                                                                                                              |
| <b>Notes</b>                | Retention begins at the CLOSE of the financial year to which they relate. Includes all associated documentation and records for the purpose of audit. |

### Benefactions

|                                 |                                                                                                                                                                                                       |
|---------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Record type</b> Benefactions |                                                                                                                                                                                                       |
| <b>Category</b>                 | Finance                                                                                                                                                                                               |
| <b>Retention period</b>         | 8 years                                                                                                                                                                                               |
| <b>Disposal action</b>          | Review and consider transfer to PoD                                                                                                                                                                   |
| <b>Notes</b>                    | These may already be in the financial accounts and may be captured in other reports, records or committee papers. Benefactors, endowments, trust fund or legacies should be offered to the local PoD. |

### Debtors' records: CLEARED

|                         |                                                                          |
|-------------------------|--------------------------------------------------------------------------|
| <b>Record type</b>      | Debtors' records: CLEARED                                                |
| <b>Category</b>         | Finance                                                                  |
| <b>Retention period</b> | 2 years                                                                  |
| <b>Disposal action</b>  | Review and destroy if no longer required                                 |
| <b>Notes</b>            | Retention begins at the CLOSE of the financial year to which they relate |

### Debtors' records : NOT CLEARED

|                         |                                                                          |
|-------------------------|--------------------------------------------------------------------------|
| <b>Record type</b>      | Debtors' records : NOT CLEARED                                           |
| <b>Category</b>         | Finance                                                                  |
| <b>Retention period</b> | 6 years                                                                  |
| <b>Disposal action</b>  | Review and destroy if no longer required                                 |
| <b>Notes</b>            | Retention begins at the CLOSE of the financial year to which they relate |

### Donations

|                         |                    |
|-------------------------|--------------------|
| <b>Record type</b>      | Inspection reports |
| <b>Category</b>         | Finance            |
| <b>Retention period</b> | 6 years            |

---

|                        |                                             |
|------------------------|---------------------------------------------|
| <b>Disposal action</b> | Review and dispose of if no longer required |
|------------------------|---------------------------------------------|

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|              |                                                                           |
|--------------|---------------------------------------------------------------------------|
| <b>Notes</b> | Retention begins at the CLOSE of the financial year to which they relate. |
|--------------|---------------------------------------------------------------------------|

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## Expenses

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|                    |          |
|--------------------|----------|
| <b>Record type</b> | Expenses |
|--------------------|----------|

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|                 |         |
|-----------------|---------|
| <b>Category</b> | Finance |
|-----------------|---------|

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|                         |         |
|-------------------------|---------|
| <b>Retention period</b> | 6 years |
|-------------------------|---------|

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|                        |                                             |
|------------------------|---------------------------------------------|
| <b>Disposal action</b> | Review and dispose of if no longer required |
|------------------------|---------------------------------------------|

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|              |                                                                          |
|--------------|--------------------------------------------------------------------------|
| <b>Notes</b> | Retention begins at the CLOSE of the financial year to which they relate |
|--------------|--------------------------------------------------------------------------|

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## Final annual accounts report

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|                    |                               |
|--------------------|-------------------------------|
| <b>Record type</b> | Final annual accounts report* |
|--------------------|-------------------------------|

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|                 |         |
|-----------------|---------|
| <b>Category</b> | Finance |
|-----------------|---------|

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|                         |                |
|-------------------------|----------------|
| <b>Retention period</b> | Up to 20 years |
|-------------------------|----------------|

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|                        |                            |
|------------------------|----------------------------|
| <b>Disposal action</b> | Review and transfer to PoD |
|------------------------|----------------------------|

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|              |                                                                                                                                                                                                                              |
|--------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Notes</b> | These should be transferred when practically possible, after being retained locally for a minimum of 6 years. Ideally, these will be transferred with board papers for that year to keep a complete set of governance papers |
|--------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|

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## Financial transaction records

|                         |                                                                          |
|-------------------------|--------------------------------------------------------------------------|
| <b>Record type</b>      | Financial transaction records                                            |
| <b>Category</b>         | Finance                                                                  |
| <b>Retention period</b> | 6 years                                                                  |
| <b>Disposal action</b>  | Review and destroy if no longer required                                 |
| <b>Notes</b>            | Retention begins at the CLOSE of the financial year to which they relate |

## Invoices

|                         |                                                                          |
|-------------------------|--------------------------------------------------------------------------|
| <b>Record type</b>      | Retention begins at the CLOSE of the financial year to which they relate |
| <b>Category</b>         | Finance                                                                  |
| <b>Retention period</b> | 6 years from end of the financial year they relate to                    |
| <b>Disposal action</b>  | Review and dispose of if no longer required                              |

## Petty cash

|                         |            |
|-------------------------|------------|
| <b>Record type</b>      | Petty cash |
| <b>Category</b>         | Finance    |
| <b>Retention period</b> | 2 years    |

---

|                        |                                             |
|------------------------|---------------------------------------------|
| <b>Disposal action</b> | Review and dispose of if no longer required |
|------------------------|---------------------------------------------|

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|              |                                                                          |
|--------------|--------------------------------------------------------------------------|
| <b>Notes</b> | Retention begins at the CLOSE of the financial year to which they relate |
|--------------|--------------------------------------------------------------------------|

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### Private Finance Initiatives (PFI) files

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|                    |                                         |
|--------------------|-----------------------------------------|
| <b>Record type</b> | Private Finance Initiatives (PFI) files |
|--------------------|-----------------------------------------|

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|                 |         |
|-----------------|---------|
| <b>Category</b> | Finance |
|-----------------|---------|

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|                         |                 |
|-------------------------|-----------------|
| <b>Retention period</b> | Lifetime of PFI |
|-------------------------|-----------------|

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|                        |                                     |
|------------------------|-------------------------------------|
| <b>Disposal action</b> | Review and consider transfer to PoD |
|------------------------|-------------------------------------|

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|              |                                                                                                  |
|--------------|--------------------------------------------------------------------------------------------------|
| <b>Notes</b> | Retention begins at the END of the PFI agreement. This applies to the key papers only in the PFI |
|--------------|--------------------------------------------------------------------------------------------------|

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### Staff salary information or files

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|                    |                                   |
|--------------------|-----------------------------------|
| <b>Record type</b> | Staff salary information or files |
|--------------------|-----------------------------------|

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|                 |         |
|-----------------|---------|
| <b>Category</b> | Finance |
|-----------------|---------|

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|                         |          |
|-------------------------|----------|
| <b>Retention period</b> | 10 years |
|-------------------------|----------|

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|                        |                                          |
|------------------------|------------------------------------------|
| <b>Disposal action</b> | Review and destroy if no longer required |
|------------------------|------------------------------------------|

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|              |                                                                           |
|--------------|---------------------------------------------------------------------------|
| <b>Notes</b> | Retention begins at the CLOSE of the financial year to which they relate. |
|--------------|---------------------------------------------------------------------------|

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### Superannuation records

|                         |                                                                           |
|-------------------------|---------------------------------------------------------------------------|
| <b>Record type</b>      | Superannuation records                                                    |
| <b>Category</b>         | Finance                                                                   |
| <b>Retention period</b> | 10 years                                                                  |
| <b>Disposal action</b>  | Review and destroy if no longer required                                  |
| <b>Notes</b>            | Retention begins at the CLOSE of the financial year to which they relate. |

## Appendix II: Retention schedule: Legal, complaints and information rights

This appendix sets out the retention period for different types of legal, complaints and information rights records relating to health and care.

This appendix sets out the retention period for different types of legal, complaints and information rights records relating to health and care. Where indicated, Appendix III should also be referred to. This sets out further detail relating to the management of specific types and formats of records.

### Complaints, case files

|                         |                                          |
|-------------------------|------------------------------------------|
| <b>Record type</b>      | Complaints, case files                   |
| <b>Category</b>         | Legal, complaints and information rights |
| <b>Retention period</b> | 10 years                                 |
| <b>Disposal action</b>  | Review and destroy if no longer required |

### Fraud: case files

|                         |                                          |
|-------------------------|------------------------------------------|
| <b>Record type</b>      | Fraud: case files                        |
| <b>Category</b>         | Legal, complaints and information rights |
| <b>Retention period</b> | 10 years                                 |
| <b>Disposal action</b>  | Review and destroy if no longer required |

### Freedom of Information (FOI) requests

|                         |                                                                                               |
|-------------------------|-----------------------------------------------------------------------------------------------|
| <b>Record type</b>      | Freedom of Information (FOI) requests, responses to the request and associated correspondence |
| <b>Category</b>         | Legal, complaints and information rights                                                      |
| <b>Retention period</b> | 3 years                                                                                       |

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|                        |                                          |
|------------------------|------------------------------------------|
| <b>Disposal action</b> | Review and destroy if no longer required |
|------------------------|------------------------------------------|

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## **Freedom of Information (FOI) requests: where there has been an appeal**

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|                    |                                                                       |
|--------------------|-----------------------------------------------------------------------|
| <b>Record type</b> | Freedom of Information (FOI) requests: where there has been an appeal |
|--------------------|-----------------------------------------------------------------------|

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|                 |                                          |
|-----------------|------------------------------------------|
| <b>Category</b> | Legal, complaints and information rights |
|-----------------|------------------------------------------|

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|                         |         |
|-------------------------|---------|
| <b>Retention period</b> | 6 years |
|-------------------------|---------|

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|                        |                                          |
|------------------------|------------------------------------------|
| <b>Disposal action</b> | Review and destroy if no longer required |
|------------------------|------------------------------------------|

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## **Industrial relations: including tribunal case records**

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|                    |                                                       |
|--------------------|-------------------------------------------------------|
| <b>Record type</b> | Industrial relations: including tribunal case records |
|--------------------|-------------------------------------------------------|

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|                 |                                          |
|-----------------|------------------------------------------|
| <b>Category</b> | Legal, complaints and information rights |
|-----------------|------------------------------------------|

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|                         |          |
|-------------------------|----------|
| <b>Retention period</b> | 10 years |
|-------------------------|----------|

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|                        |                                     |
|------------------------|-------------------------------------|
| <b>Disposal action</b> | Review and consider transfer to PoD |
|------------------------|-------------------------------------|

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## **Litigation records**

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|                    |                    |
|--------------------|--------------------|
| <b>Record type</b> | Litigation records |
|--------------------|--------------------|

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|                 |                                          |
|-----------------|------------------------------------------|
| <b>Category</b> | Legal, complaints and information rights |
|-----------------|------------------------------------------|

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|                         |                                                              |
|-------------------------|--------------------------------------------------------------|
| <b>Retention period</b> | Lifetime of patent, or 6 years from end of licence or action |
|-------------------------|--------------------------------------------------------------|

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|                        |                                     |
|------------------------|-------------------------------------|
| <b>Disposal action</b> | Review and consider transfer to PoD |
|------------------------|-------------------------------------|

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## Software licences

|                         |                                          |
|-------------------------|------------------------------------------|
| <b>Record type</b>      | Software licences                        |
| <b>Category</b>         | Legal, complaints and information rights |
| <b>Retention period</b> | Lifetime of licence                      |
| <b>Disposal action</b>  | Review and destroy if no longer required |

## Subject access requests (SAR), response, and subsequent correspondence

|                         |                                                                        |
|-------------------------|------------------------------------------------------------------------|
| <b>Record type</b>      | Subject access requests (SAR), response, and subsequent correspondence |
| <b>Category</b>         | Legal, complaints and information rights                               |
| <b>Retention period</b> | 3 years                                                                |
| <b>Disposal action</b>  | Review and destroy if no longer required                               |

## Subject Access Request (SAR): where there has been an appeal

|                         |                                                              |
|-------------------------|--------------------------------------------------------------|
| <b>Record type</b>      | Subject access request (SAR): where there has been an appeal |
| <b>Category</b>         | Legal, complaints and information rights                     |
| <b>Retention period</b> | 6 years from end of the financial year they relate to        |
| <b>Disposal action</b>  | Review and dispose of if no longer required                  |

## Intel patents, trademarks, copyright, IP

|                         |                                                                  |
|-------------------------|------------------------------------------------------------------|
| <b>Record type</b>      | Intel patents, trademarks, copyright, Intellectual property (IP) |
| <b>Category</b>         | Legal, complaints and information rights                         |
| <b>Retention period</b> | Lifetime of patent, or 6 years from end of licence or action     |
| <b>Disposal action</b>  | Review and consider transfer to PoD                              |