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Cymru
Public Health
Wales

Reference Number: AW16 / CD01

Previously PHW13/CD01

Version Number: 3

Date of Next review: August 2019

Guidance on Record Retention & Destruction

Introduction and Aim

This Records Creation, Storage, Retention and Destruction Guidance has been developed to ensure that records are:

- Created following the records lifecycle
- Properly controlled;
- Readily accessible and available for use;
- Disposed of when no longer required, or archived if appropriate

Linked Policies, Procedures and Written Control Documents

[Information Governance Strategy](#)

[Information Governance Policy](#)

Information Lifecycle

Document templates

Scope

All Public Health Wales staff

Approved by	Information Governance Working Group
Approval Date	16 August 2018
Review Date	16 August 2019
Date of Publication:	12 November 2019
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Disclaimer

If the review date of this document has passed please ensure that the version you are using is the most up to date either by contacting the document author or the [Corporate Governance](#).

Contents

- 1. Creating records correctly**
- 2. Storing records correctly**
- 3. File Servers**
- 4. Groupware**
- 5. SharePoint**
- 6. Paper Records**
- 7. How to name your document correctly**
- 8. Appraising and auditing records**
- 9. Records with mandatory retention periods**

Guidance on the creation, storage, checking retention and destruction of records

1. Creating records correctly

New records are created because of a business need. Records can be created in any media.

Certain records must conform to Public Health Wales templates. Document templates for a variety of corporate records are located on the Public Health Wales intranet and [can be found here](#) on the Intranet Logo's stationery and templates pages

<http://howis.wales.nhs.uk/sitesplus/888/page/34394>

Emails should be assessed as to their record value – certain emails may be the equivalent of a memorandum and/or contain information that will inform why a decision was reached. Such emails should be saved outside of Outlook within relevant folder or SharePoint library so that they can be easily retrieved.

2. Storing records correctly

Public Health Wales currently has three main mechanisms for storage and retrieval of its Corporate Records:

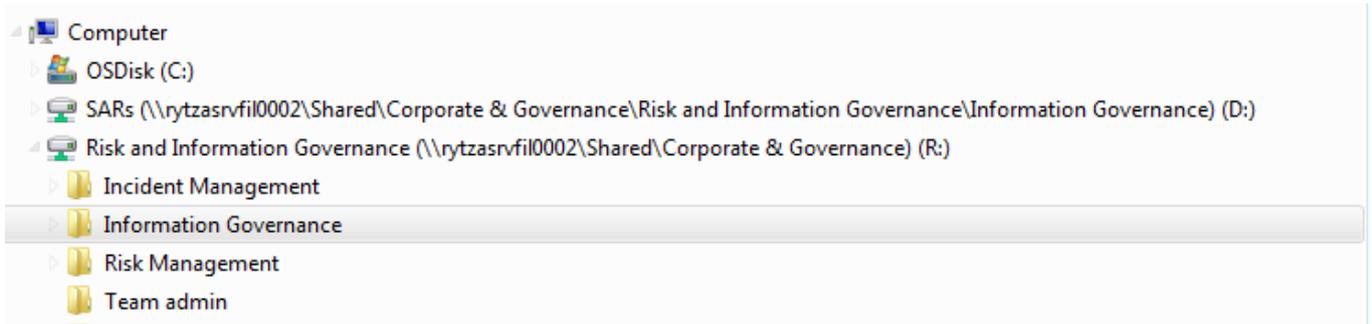
- File Servers
- Groupware
- SharePoint

3. File Servers

File servers hosted by Public Health Wales Informatics or NWIS (depending upon location). File servers continue to hold Directorate / Divisional and Team based collaborative and individual work.

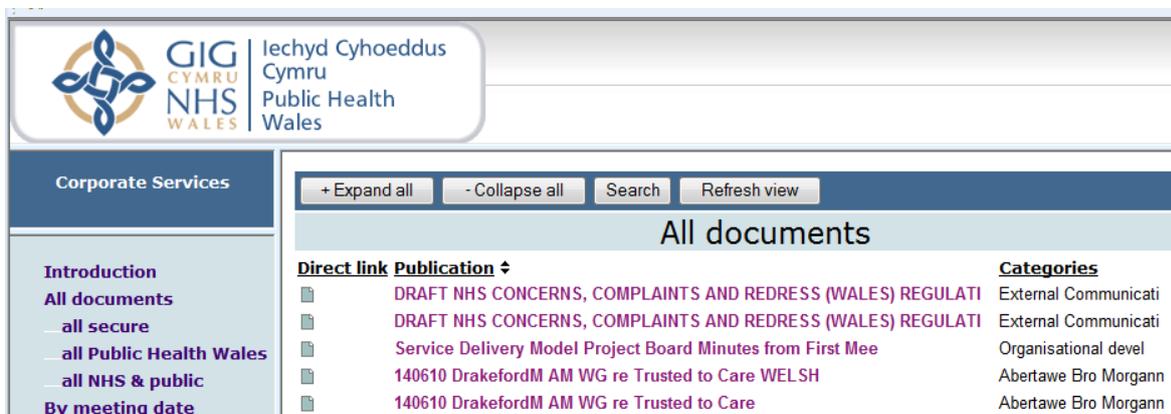
Documents should be stored in work topic based folders underneath the banner of the appropriate division or team.

Documents should be given names that reflect their contents and a version control.



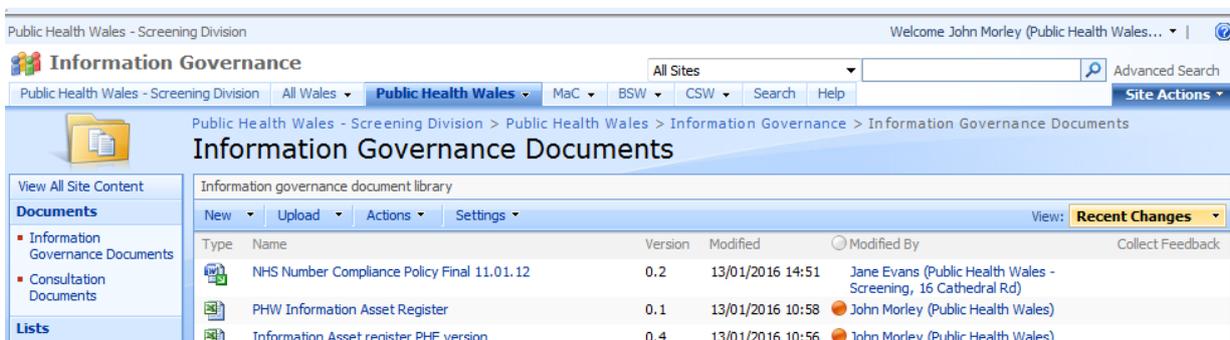
4. Groupware

Although a generic term for collaboration software, it has become the name by which staff know the Domino/Lotus notes services.



5. SharePoint

A Microsoft collaboration product used for document and meetings management and records management services. It has a similar function to Groupware, it can integrate with the standard Microsoft Office Products.



6. Paper Records

Paper records /printouts should be handled so that loss of documentation is minimized. A clear desk policy must be implemented in line with the Information Security Policy.

Where practical any paper filing system should mirror the structures created for electronic records. There are very few circumstances where it is a business or organizational requirement to keep paper records as opposed to electronic. It is our recommendation that paper records are scanned, store in electronic files and destroyed in accordance with guidance.

7. How to name your document correctly

It is not possible to dictate what a document is called, so when a document is saved for the first time **must** be given an appropriate descriptive name which describes the content. However a record when being created and named must reflect its contents. To this end common sense must be used when naming a document /record.

For example, if the Risk and Information Governance team based in Cardiff were working on a document about the security of information assets in the Swansea office, a sample name for the document could be:

RIG Swansea assets V1 June 2017

Sometimes it is helpful to include a date i.e. 20170322.

Public Health Wales has suite of templates that show the style and format expected in documents, more guidance can be accessed [here](#).

How your document should be numbered

Version Number	Status	Explanation
0.1	First draft work in progress	Author's first draft.
0.2	Second draft work in progress	Comments received and incorporated.
0.3	Third draft work in progress	Further comments received and incorporated. This process continues for as many letters as necessary.
1.0	Approved	Document has been approved by the relevant group. The document should now be published to the intended audience.

1.1	First revised draft of a previously approved document	Author's revisions included.
1.2	Second revised draft	Further comments received and incorporated This process continues for as many letters as necessary.
2.0	Approved in a revised version	The document should now be republished to the intended audience.

8. Appraising and auditing records

Records are created and used because there is a need for the record by that particular team or staff member. However records do come to the end of their usefulness. Each series of records will have different life spans.

Usually there is no legislative requirement to keep records for a period of time with some exceptions such as financial records or some staff records.

It is for the business to determine the length of time a record should be kept, whether it should be archived, and when it should be destroyed.

All records should be appraised for retention, archiving or deletion according to business experience and need. This should be an on-going process by the business and applies equally to electronic and paper records.

There is guidance provided within Public Health Wales retention and destruction procedure. An appropriate person has been outlined in the guidance. It is the responsibility of that person to ensure all records are created, maintained and destroyed appropriately.

Destruction

It is the responsibility of the person who creates and administers a record to ensure that it is maintained appropriately and this included the destruction of the record when appropriate.

It is suggested that each team or business area maintain a list of the assets/records that they hold/use in order to ensure it is destroyed in a timely fashion. Retaining Records Longer than 20 years, requires them to be sent to the National Archive and it is the responsibility of the person named in the guidance document to ensure that this is done.

Records with mandatory retention periods

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
ADMINISTRATION						
Accident Forms Datix	Date incident recorded /reported	10 years (see litigation dossiers)		Destroy Under Confidential Conditions (DUCC) (DUCC)	Head of Estates and Health and Safety	Estates, Facilities and Health and Safety
Accident Register (RIDDOR)	8 years	8 years	Reporting of Injuries, Diseases and Dangerous occurrences	Destroy Under Confidential Conditions (DUCC) (DUCC)	Head of Estates and Health and Safety	Estates, Facilities and Health and Safety
Agendas of formal PHW board meetings, committees, sub-committees (master copies, including associated papers)	20 years	20 years		Destroy Under Confidential Conditions (DUCC) (DUCC)	Deputy Board Secretary	Corporate Governance
Assembly/Parliamentary questions, MP enquiries	10 years	10 years		Destroy Under Confidential Conditions (DUCC) (DUCC)	Deputy Board Secretary	Corporate Governance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
CCTV images	Retain for 28 days	recycled	Data Protection Act (1998)	Erase permanently		Informatics
Complaints -Correspondence, investigation, outcomes	Complaint received	<p>- 10 years from completion of action</p> <p>- Files closed annually & kept for 6 years following closure</p> <p>See also litigation dossiers</p>		Destroy Under Confidential Conditions (DUCC) (DUCC) (DUCC)	Claims Manager	QNAHPs
Freedom of Information Requests		3 years after full disclosure; 10 years if information is redacted or the information requested is not disclosed	Information Commissioner	Destroy Under Confidential Conditions (DUCC)	Information Governance Manager	QNAHPs

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Health and safety documentation	Approved document	3 years	HSE regulations	Destroy Under Confidential Conditions (DUCC)	Head of Estates and Health and Safety	Estates, facilities and Health and Safety
History of organisation or predecessors, its organisation and procedures(e.g. establishment order)	Organisation established	20 years	National Archives	Offer to National Archives for permanent preservation	Deputy Board Secretary	Corporate Governance
Incident forms	8 years	8 years		Destroy Under Confidential Conditions (DUCC)	Senior Risk Officer	QNAHPs
Indices (records management)	Record creation	Registry lists of public records marked for permanent preservation, or containing the record of management of public records – 20 years	National Archives, Information Commissioner	Destroy Under	Deputy Board Secretary	Corporate Governance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
		File lists and document lists where public records or their management are not covered – 20 years		Confidential Conditions (DUCC)		
Litigation dossiers (complaints including accident/incident reports)Records/d ocuments relating to any form of litigation	Incident started	10 years Where a legal action has commenced, keep as advised by legal representative s		Destroy Under Confidential Conditions (DUCC)	Claims Manager	QNAHPs
Meetings and minutes papers of formal major committees and sub-committees(master copies)	Meeting date	20 years		Offer to National Archives for permanent preservation	Deputy Secretary Board	Corporate Governance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Quality assurance records	Record created	12 years		Destroy Under Confidential Conditions (DUCC)	Governance and General Manager	QNAHPs
Records documenting the archiving, transfer to public records archive or destruction of records	List created	20 years		Offer to National Archives for permanent preservation	Chief Officer/Senior Information Governance Manager Risk	Risk Information Governance &
Reports (major)	Report created	20 years		Offer to National Archives for permanent preservation	Deputy Secretary Board	Corporate Governance
Requests for access to records, other than Freedom of Information or subject access requests	Request received	6 years after last action on record	ICO	Destroy Under Confidential Conditions (DUCC)	Information Governance Manager	Risk Information Governance &
Research ethics	Record created	30 years from			Assistant Director of	PRID

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
committee records		date of decision			Policy, Research and International Develop	
Serious incident files	Incident date	20 years			Chief Risk officer	QNAHPs
Subject access requests (DPA and AHR)- records of requests	Request received	3 years after last action	ICO	Destroy Under Confidential Conditions (DUCC)	Information Governance Manager	Risk & Information Governance
BUILDINGS						
Buildings - papers relating to occupation (but not Health & Safety information) of the building	Occupation of building	3 years after occupation ceases	Construction Design Management Regulations 1994	Destroy Under Confidential Conditions (DUCC)	Head of Estates and Health and Safety	Estates, Facilities and Health and Safety
Deeds of Title	Occupation of building	30 years	Construction Design Management Regulations 1994	Destroy Under Confidential Conditions (DUCC)	Head of Estates and Health and Safety	Estates, Facilities and Health and Safety
Land Surveys/Registers	Occupation of building	30 years		Destroy Under Confidential Conditions (DUCC)	Head of Estates and Health and Safety	Estates, Facilities and Health and Safety

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Leases the grant of leases, easements, licences & other rights over property	Occupation of building	30 years	Construction Design Management Regulations 1994	Destroy Under Confidential Conditions (DUCC)	Head of Estates and Health and Safety	Estates, Facilities and Health and Safety
Plans - Building (As Built)	Lifetime of building	Lifetime of building		Destroy Under Confidential Conditions (DUCC)	Head of Estates and Health and Safety	Estates, Facilities and Health and Safety
Plans - Building (Detailed)	Lifetime of building	Lifetime of building	Construction Design Management Regulations 1994	Destroy Under Confidential Conditions (DUCC)	Head of Estates and Health and Safety	Estates, Facilities and Health and Safety
Plans - Engineering	Lifetime of building.	Lifetime of building.	Construction Design Management Regulations 1994	Destroy Under Confidential Conditions (DUCC)	Head of Estates and Health and Safety	Estates, Facilities and Health and Safety
CARIS RECORDS						
CARIS paper records	Discharge or patient Last seen	25 years	Limitation Act 1980, Congenital Disabilities (Civil Liability) Act 1976,	Review and if no Longer needed Destroy Under Confidential Conditions (DUCC)	CARIS Manager	Health Intelligence
EPIDEMIOLOGICAL RECORDS						

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
<p>TARIAN records</p> <p>Paper forms</p> <p>Electronic</p>	<p>Case created</p>	<p>Retain hardcopy for 1 year as part of the clinical case then Destroy Under Confidential Conditions (DUCC) (DUCC).</p> <p>Electronic copy becomes master records to be retained for statistical or historical purposes as long as required</p>	<p>Health Protection CCDC group</p>	<p>Destroy Under Confidential Conditions (DUCC)</p> <p>Destroy Under Confidential Conditions (DUCC)</p>	<p>Professional Lead for Health Protection</p>	<p>Health Protection</p>
<p>NOIDS</p>	<p>Case created</p>	<p>Retain hardcopy for 18 months. Electronic copy - retain permanently</p>	<p>Health Protection CCDC group</p>	<p>Destroy Under Confidential Conditions (DUCC)</p>	<p>Professional Lead for Health Protection</p>	<p>Health Protection</p>

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Outbreak investigation questionnaires	Date of Outbreak	Retain hardcopy for 1 year as part of the clinical case then Destroy Under Confidential Conditions (DUCC) (DUCC). Electronic copy becomes master records to be retained for statistical or historical purposes as long as required	Health Protection CCDC group	Destroy Under Confidential Conditions (DUCC)	Professional Lead for Health Protection	Health Protection
Infection control reports	Case created	Retain hardcopy for 1 year as part of the clinical case then Destroy Under Confidential Conditions (DUCC) (DUCC).	Health Protection CCDC group	Destroy Under Confidential Conditions (DUCC)	Professional Lead for Health Protection	Health Protection

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
		Electronic copy becomes master records to be retained for statistical or historical purposes as long as required				
Data-store	Case created	To be retained for statistical or historical purposes as long as required as detailed in the Informatics MOU		Destroy Under Confidential Conditions (DUCC)	Professional Lead for Health Protection	Health Protection
HEALTHCARE RECORDS						
All records relating to Children & Young People	Discharge or patient last seen	Retain until the patient's 25 th birthday or 26 th if young person		Destroy Under Confidential Conditions (DUCC)	Professional Lead for Health Protection	Health Protection

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
		was 17 at conclusion of treatment or 8 years after last entry in the record, if longer , or 8 years after death if death occurred before 18 th birthday				
All records relating to Safeguarding	Retain until the patient's 25 th birthday or 26 th if young person was 17 at conclusion of treatment or 8 years after last entry in the record, if longer , or 8 years after death if death occurred before 18 th birthday			Destroy Under Confidential Conditions (DUCC)	Divisional Lead National Safeguarding Team	QNAHPs

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Child GUM records	Discharge or patient last seen	File in child's record and keep until patient 75 th birthday	Children's Act	Destroy Under Confidential Conditions (DUCC)	Divisional Lead National Safeguarding Team	QNAHPs
Adult Practice Reviews	Date of publication	85 years	Social Services & Well Being Act 2014	Destroy	Divisional Lead National Safeguarding Team	National Safeguarding Team
Child Practice Reviews	Date of publication	85 years	Social Services & Well Being Act 2014	Destroy	Divisional Lead National Safeguarding Team	QNAHPs/NST
Serious Case Reviews	Date of publication	85 years	Safeguarding Children: Working Together under the Children Act 2004 (WAG 2006)	Destroy	Divisional Lead National Safeguarding Team	National Safeguarding Team
Creutzfeldt-Jakob disease (CJD)	Diagnosis	30 years or 8 years after the patient has died		Review and consider transfer to a place of deposit, Destroy Under Confidential Conditions (DUCC)	Professional Lead for Health Protection	Health Protection
Clinical Trials - Records of	Trial date	15 years after conclusion of treatment.	EEC Note for Guidance: Good Clinical Practice for	Destroy Under Confidential Conditions (DUCC)	Professional Lead for Health Protection	Health Protection

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
patients involved in clinical trials			Trials on Medicinal Products in the European Community, section 3.17 (see - Pharmacology & Toxicology 1990, 67, 361-372.) Directive 2001/20/EC			
Forensic Medicine records (including pathology, toxicology, haematology, dentistry, DNA testing, post-mortems forming part of the Coroner's report, and human tissue kept as part of the forensic record)	Record created	For post-mortem records which form part of the Coroner's report, approval should be sought from the Coroner for a copy of the report to be incorporated in the patient's notes, which should then be kept in line with the	The Retention and Storage of Pathological Records and Archives (3 rd edition 2005)' guidance from the Royal College of Pathologists and the Institute of Biomedical Science Human Tissue Act 2004	Destroy Under Confidential Conditions (DUCC)	Professional Lead for Health Protection	Health Protection

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
		speciality, and then reviewed. All other records retain for 30 years.				
GP records, including medical records relating to HM Armed Forces or those serving a period of imprisonment	Treatment	30 years		Destroy Under Confidential Conditions (DUCC)	Professional Lead for Health Protection	Health Protection
Records relating to children and young people (including pediatric, vaccination and community child health service records) –	Treatment	until the patient’s 25th birthday or 26th if an entry was made when the young person was 17; or 10 years after death of a patient if sooner		Destroy Under Confidential Conditions (DUCC)	Professional Lead for Health Protection	Health Protection

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Maternity records	Treatment	25 years after last live birth		Destroy Under Confidential Conditions (DUCC) (DUCC)	Professional Lead for Health Protection	Health Protection
Genito Urinary Medicine (GUM)	Treatment	8 years		Destroy Under Confidential Conditions (DUCC)	Professional Lead for Health Protection	Health Protection
Patient/Client/Health/Clinical Care/Care Records (records not covered above which might include human tissue)	Treatment	8 years after conclusion of treatment. If the records include human tissue see the appropriate section above.	Human Tissue Act 2004	Destroy Under Confidential Conditions (DUCC)	Professional Lead for Health Protection	Health Protection
OTHER RECORDS RELATING TO HEALTHCARE						
Occupational Health Records (Staff)	Incident	3 years unless litigation ensues (see litigation)		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	Human Resources

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Records of Destruction of Health Records (case-notes) and other health related records contained in this retention schedule	Records destroyed	30 years		Destroy Under Confidential Conditions (DUCC)	Professional Lead for Health Protection	Health Protection
Patient/Client, Clinical/Medical Case Records not covered in other categories	Treatment	8 years after conclusion of treatment		Destroy Under Confidential Conditions (DUCC)	Professional Lead for Health Protection	Health Protection

MICROBIOLOGICAL RECORDS

Microbiology have their own Quality Manuals and the information regarding the retention and destruction of each record is held there. The links to each manual can be found below. The responsibility for the storage and destruction of each asset lies with the Laboratory Manager.

[Retention and storage of pathological records and specimens](#)

[Quality Management](#)

FINANCIAL RECORDS

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Accounts – annual (final – one set only)	Close of financial year	30 years	HM Revenue & Customs		Head of Financial Reporting & Control	Finance
Accounts - Minor records (pass books; paying-in slips; cheque counterfoils; cancelled/discharged cheques (other than cheques bearing printed receipts - See Receipts); accounts of petty cash expenditure; travelling and subsistence accounts; minor vouchers; duplicate receipt books; income records; laundry lists and receipts.)	Close of financial year	2 years from completion of audit	HM Revenue & Customs	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Advice Notes	Close of financial year	1.5 years	HM Revenue & Customs	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Audit Records - original documents	Close of financial year	2 years after completion of audit	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Audit Reports (including Management Letters, VFM reports and system/final accounts memorandum)	Close of financial year	2 years after formal completion by statutory auditor	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Bank statements	Close of financial year	2 years from completion of audit	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Banks Automated Clearing System (BACS) records	Close of financial year	6 years after year end	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Benefactions (records of)	Close of financial year	5 years after end of financial year	Limitation Act 1980		Head of Financial Reporting & Control	Finance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
		in which the trust monies become finally spent or the gift in kind is accepted. In cases where the Benefaction Endowment Trust fund/capital/in terest remains permanent, records should be permanently retained by the organisation				
Bills, receipts and cleared cheques	Close of financial year	6 years	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Budgets	Close of financial year	2 years from completion of audit	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Capital charges data	Close of financial year	2 years from completion of audit	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Cash books	Close of financial year	6 years after end of financial year to which they relate	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Cash sheets	Close of financial year	6 years after end of financial year to which they relate	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Contracts – financial	Close of financial year	Approval files – 15 years Approved suppliers lists – 11 years		Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Cost accounts	Close of financial year	3 years after end of financial year to which they relate		Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Creditor Payments	Close of financial year	3 years following the end of the financial year to which they relate	The Limitation Act 1980	Destroy Under Confidential Conditions (DUCC) (DUCC)	Head of Financial Reporting & Control	Finance
Debtors' records - cleared	Close of financial year	2 years from completion of audit	The Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Debtors' records - uncleared	Close of financial year	6 years from completion of audit	The Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Demand Notes	Close of financial year	6 years following the end of the financial year to which they relate	The Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Estimates: including supporting calculations and statistics	Close of financial year	3 years following the end of the financial year to which they relate	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Expense Claims Including travel & subsistence claims – claims & authorisations	Close of financial year	2 years following end of the financial year to which they relate	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Excess Fares	Close of financial year	2 years following end of the fin. year to which they relate		Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Forms - Superannuation - SD55 (ADP) and SD55J (copies)	Close of financial year	10 years (originals sent to NHS Pensions Agency)		Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Fraud case files/investigations	Close of financial year	6 years		Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Fraud national proactive exercises	Close of financial year	3 years		Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Invoices	Close of financial year	6 years following the end of the financial year to which they relate	The Limitation Act 1980	Destroy Under Confidential Conditions (DUCC) (DUCC)	Head of Financial Reporting & Control	Finance
Ledgers, including cash books, ledgers, income and expenditure journals, nominal rolls, non-exchequer funds records (patient monies)	Close of financial year	6 years after end of financial year to which they relate	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Non-exchequer funds records	Close of financial year	30 years		Although technically exempt from the Public Records Act, It would be appropriate for authorities to treat these records as if they were not exempt	Head of Financial Reporting & Control	Finance
PAYE records	Close of financial year	6 years after termination of	Limitation Act 1980	Destroy Under Confidential	Head of Financial Reporting & Control	Finance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
		employment		Conditions (DUCC)		
Payments	Close of financial year	6 years after year end	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Payroll (i.e. list of staff in the pay of the organisation)	Close of financial year	6 years after termination of employment		Destroy Under Confidential Conditions (DUCC)For superannuation purposes, organisations may wish to retain such records until the subject reaches benefit age	Head of Financial Reporting & Control	Finance
Positive predictive value performance indicators	Close of financial year	3 years		Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Private Finance Initiative	Close of financial year		Limitation Act 1980		Head of Financial Reporting & Control	Finance
Receipts	Close of financial year	6 years following the end of the financial year	The Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
		to which they relate				
Superannuation accounts	Close of financial year		Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Superannuation forms SD55(ADP) and SD55J (NHS Pensions Scheme – copies)	Close of financial year		Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Superannuation registers	Close of financial year			Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Tax forms	Close of financial year		Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
VAT records	Close of financial year	6 years after end of financial year to which they relate	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
Wages/Salary Records	Employment start	10 years after termination of employment.		Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
PERSONNEL/HR						
Consultants (records relating to the recruitment of)	Recruitment start	5 years	NHS (Appointment of Consultants) Regulations, good practice guidelines, page 11, para. 5.3 http://www.dh.gov.uk/assetRoot/04/10/27/50/04102750.pdf	Destroy Under Confidential Conditions (DUCC)	Assistant Director Of People	POD
CVs for non-executive directors (successful applicants)	Recruitment start	5 years following term of office		Destroy Under Confidential Conditions (DUCC)	Assistant Director Of People	POD
CVs for non-executive directors (unsuccessful applicants)	Recruitment start	2 years		Destroy Under Confidential Conditions (DUCC)	Assistant Director Of People	POD
Personnel/human resources records – minor (e.g.	Recruitment start	2 years		Destroy Under Confidential Conditions (DUCC)	Assistant Director Of People	POD

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE MANAGER (JOB TITLE)	RESPONSIBLE TEAM
attendance books, annual leave records, duty rosters, clock cards, timesheets)						
PURCHASING SUPPLIES						
Delivery notes	Goods received	2 years after end of financial year to which they relate		Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Products (liability)	Goods received	11 years	Consumer Protection Act 1987	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Tenders (successful)	Tender start	Tender period plus 6 year limitation period	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Tenders (unsuccessful)	Tender start	6 years	Limitation Act 1980	Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance

Records with no mandatory retention periods

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE TEAM (Job Title)	RESPONSIBLE TEAM
ADMINISTRATIVE (CORPORATE)						
Agendas (divisional meetings)	Record created	2 years		Destroy Under Confidential Conditions (DUCC)	Deputy Board Secretary	Corporate Governance
Annual/corporate reports	Record created	3 years		Destroy Under Confidential Conditions (DUCC)	Deputy Board Secretary	Corporate Governance
Copyright declaration forms	Record created	1 year		Destroy Under Confidential Conditions (DUCC)	Deputy Board Secretary	Corporate Governance
Day Files	Record created	0.5 years		Destroy Under Confidential Conditions (DUCC)	Deputy Board Secretary	Corporate Governance
Diaries - office - on completion	Record created	1 year after year they refer to		Destroy Under Confidential Conditions (DUCC)	Deputy Board Secretary	Corporate Governance
Draft papers (All)	Record created	Dispose of as soon as final version is approved (normally after next meeting of the relevant group)		Destroy Under Confidential Conditions (DUCC) as soon as final version is approved	Deputy Board Secretary	Corporate Governance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE TEAM (Job Title)	RESPONSIBLE TEAM
Flexi working hours (personal record of hours actually worked)	Record created	1 year		Destroy Under Confidential Conditions (DUCC)	Assistant Director Of People	POD
Draft minutes, papers (All)	Record created	Dispose of as soon as final version is approved (normally after next meeting of the relevant group)		Destroy Under Confidential Conditions (DUCC) as soon as final version is approved	Deputy Secretary Board	Corporate Governance
Meetings and minutes papers (other, including reference copies of major committees)	Record created	2 years		Destroy Under Confidential Conditions (DUCC)	Deputy Secretary Board	Corporate Governance
Nominal rolls	Record created	6 years (maximum)		Destroy Under Confidential Conditions (DUCC)	Deputy Secretary Board	Corporate Governance
Papers of minor or short-lived importance not covered elsewhere, e.g.: - advertising	Record created	2 years after the settlement of the matter to which they relate		Destroy Under Confidential Conditions (DUCC)	Deputy Secretary Board	Corporate Governance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE TEAM (Job Title)	RESPONSIBLE TEAM
<p>matter</p> <ul style="list-style-type: none"> - covering letters - reminders - letters making appointments - anonymous or unintelligible letters - drafts - duplicates of documents known to be preserved elsewhere (unless they have important minutes on them) - indices and registers compiled for temporary purposes - routine reports - punched cards - other documents that have ceased to 						

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE TEAM (Job Title)	RESPONSIBLE TEAM
be of value on settlement of the matter involved						
Personal Record of Hours Actually Worked	Record created	2 years		Destroy Under Confidential Conditions (DUCC) (DUCC)	Assistant Director of People	POD
Press cuttings	Record created	1 year		Destroy (where bound volumes exist)	Head of Communications	Comms
Project files (over £100,000) on termination, including abandoned or deferred projects	Record created	6 years			Head of Financial Reporting & Control	Finance
Project files (less than £100,000) on termination	Record created	2 years		Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Project team files (summary retained)	Record created	3 years		Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE TEAM (Job Title)	RESPONSIBLE TEAM
Receipts for registered and recorded mail	Record created	2 years following the end of the financial year to which they relate		Destroy Under Confidential Conditions (DUCC)	Deputy Board Secretary	Corporate Governance
Requisitions	Record created	18 months		Destroy Under Confidential Conditions (DUCC)	Head of Financial Reporting & Control	Finance
Research ethics committee records	Record created	30 years from date of decision			Assistant Director of Policy, Research and International Development	PRID
Health Intelligence Records						
Abortion datasets	Data stored indefinitely	Data stored indefinitely (it may be necessary to revisit historical data for analysis purposes e.g. trend analyses) and further		Destroy Under Confidential Conditions (DUCC)	Director of Health Intelligence	Health Intelligence

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE TEAM (Job Title)	RESPONSIBLE TEAM
		epidemiological needs				
Conception Datasets	Data stored indefinitely	Data stored indefinitely (it may be necessary to revisit historical data for analysis purposes e.g. trend analyses) and further epidemiological			Director of Health Intelligence	Health Intelligence
National Community Child Health Data (NCCHD)	Data stored indefinitely	Data stored indefinitely (it may be necessary to revisit historical data for analysis purposes e.g. trend analyses) and further epidemiological needs		Destroy Under Confidential Conditions (DUCC)	Director of Health Intelligence	Health Intelligence
Vital statistics Database	Data stored indefinitely	Data stored indefinitely (it may be necessary to			Director of Health Intelligence	Health Intelligence

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE TEAM (Job Title)	RESPONSIBLE TEAM
		revisit historical data for analysis purposes e.g. trend analyses) and further epidemiological				
Welsh Health Survey	Data stored indefinitely	Data stored indefinitely (it may be necessary to revisit historical data for analysis purposes e.g. trend analyses)			Director of Health Intelligence	Health Intelligence
PERSONNEL/HR						
Duty rosters	Record created	4 years		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	POD
Industrial relations (not routine staff matters), including industrial tribunals	Record created	10 years		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	POD
Job advertisements	Record created	1 year		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	POD

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE TEAM (Job Title)	RESPONSIBLE TEAM
Job applications (successful)	Record created	3 years following termination of employment		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	POD
Job applications (unsuccessful)	Record created	1 year		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	POD
Job descriptions	Record created	3 years		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	POD
Leavers' dossiers	Record created	Summary to be retained for 30 years or until individual's 70 th birthday, whichever is later		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	POD
Letters of appointment	Record created	6 years after employment has terminated or until 70 th birthday, whichever is later		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	POD
Nurse training records	Record created	30 years			Assistant Director of	POD

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE TEAM (Job Title)	RESPONSIBLE TEAM
					People	
Personnel/human resources records – major (e.g. personal files, letters of appointment, contracts, references and related correspondence, registration authority forms, training records, equal opportunity monitoring forms (if retained))	Record created	6 years after individual leaves service, at which time a summary of the file must be kept until the individual's 70 th birthday			Assistant Director of People	POD
Personnel/human resources records – minor (e.g. attendance books, annual leave records, duty rosters, clock cards, timesheets)	Record created	2 years		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	POD
Staff car parking permits	Record created	3 years		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	POD

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE TEAM (Job Title)	RESPONSIBLE TEAM
Study leave applications	Record created	5 years		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	POD
Timesheets	Record created	6 months		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	POD
Training plans	Record created	2 years		Destroy Under Confidential Conditions (DUCC)	Assistant Director of People	POD
Informatics						
Documentation relating to computer programs written in-house	Record created	Lifetime of software		Destroy Under Confidential Conditions (DUCC)	Lead Systems Development Manager	Informatics
Software licenses	Record created	Lifetime of software		Destroy Under Confidential Conditions (DUCC)	Lead Systems Development Manager	Informatics
Screening Records						
<p>Screening have their own Quality Manuals and the information regarding the retention and destruction of each record is held there. The links to each manual can be found below. The laboratory manager is responsible for ensuring the correct retention schedule and process is followed.</p>						

TYPE OF RECORD	RETENTION START	RETENTION PERIOD	DERIVATION (LEGISLATION)	ACTION AT END OF RETENTION PERIOD	RESPONSIBLE TEAM (Job Title)	RESPONSIBLE TEAM
WAAASP BSW BTW CSW NBHSW DESW NBSW						