

# NHS FIFE RETENTION AND DISPOSAL OF RECORDS SCHEDULE

## Introduction

1. The destruction of records is an irreversible act, while the cost of preserving records worthy of permanent preservation is high and continuing. The criteria which follow are intended to give guidance on how long records should be kept for business purposes and on the identification of records of permanent value.
2. In NHS Fife, managers must ensure that records no longer required for business are reviewed as soon as practicable under the criteria set out below so that ill-considered destruction is avoided.
3. This Schedule identifies the minimum retention periods. The review will determine whether records are to be selected for permanent preservation, destroyed or retained for research or litigation purposes.
4. Whenever this Schedule is used, the guidelines listed below should be followed:
  - Local business requirements/instructions must be considered before activating retention periods in this Schedule.
  - Decision/s should also be considered in light of the need to preserve records, whose use cannot be anticipated fully at the present time, but which may be of value to future generations.
  - Recommended minimum retention periods should be calculated from the end of the calendar or accounting year following the last entry on the document.
  - The selection of files for permanent preservation is partly informed by precedent (the establishment of a continuity of selection) and partly by the historical context of the subject (the informed identification of a selection). General rules should be drawn up locally using the profile of material which has already been selected, and the history of the institution or organisation (including pioneering treatments and examples of excellence) within the context of its service to the local and wider communities.
  - The provisions of Data Protection Legislation must also be complied with.

## Retention and Disposal of Business or Administrative Records

This schedule also applies in principle to records in electronic format, such as computer files, e-mail and databases as well as to paper records.

### Administrative Records

#### Communications

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>1</b>	<b>Communications</b>			
<b>1.1</b>	<b>Communication Services</b>			
1.1.1	Campaigns (including marketing) – final outputs	Conclusion of campaign	3 years	Relates to campaign workings i.e. adverts/documents/artwork.  Consider transfer to archive
1.1.2	Corporate Identity and Branding – artwork	Superseded	Permanent	Consider transfer to archive
1.1.3	Diaries – non-clinical (paper and electronic)	End of diary year	2 years	
1.1.4	Language translation services	End of current year	3 years	
1.1.5	Photographs – corporate and publicity	Date of photograph	10 years	Photographs which would be considered of historical significance should be kept.  Consider for transfer to archive
1.1.6	Publications – major publications (guides, books and other publications)	Date published	Permanent	Retain one set of records only – copies to be destroyed once business use concluded.  Consider for transfer to archive
<b>1.2</b>	<b>Conference</b>			
1.2.1	Conferences – proceedings, routine paperwork, attendance and presentations	End of Conference	Destroy after conference if no longer required	The authority may wish to keep the correspondence longer for its own business purposes Significant national conference papers should be considered transfer to archive

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>1</b>	<b>Communications</b>			
<b>1.3</b>	<b>Consultations</b>			
1.3.1	Consultations – responses to external consultations	End of consultation	3 years	
<b>1.4</b>	<b>Customer Engagement</b>			
1.4.1	Customer Engagement data (including statistics, trends, staff surveys and customer satisfaction data)	Completion of survey	5 years	
<b>1.5</b>	<b>Media</b>			
1.5.1	Media relations records – final outputs	End of financial year	5 years	Consider for transfer to archive
1.5.2	Press cuttings	Date of publication	5 years	Press cuttings which would be considered of significance would be considered for transfer to archive. If utilise a commercial electronic cuttings service, this record type will not need to be retained.
1.5.3	Press release and important internal communications	Release date	6 years	Press releases may form a significant part of the public record of an organisation which may need to be retained.  Consider for transfer to archive
<b>1.6</b>	<b>Web Services</b>			
1.6.1	Board Website/s	Date of creation	6 years	Consider for web-archiving (for example the web-archiving service provided by NRS)

## Corporate Governance

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>2</b>	<b>Corporate Governance</b>			
<b>2.1</b>	<b>Adverse Events</b>			
2.1.1	Incidents (not serious – adverse events (category II and III))	Closure of investigation	10 years	Review and if no longer needed destroy See 3.3.3 for incidents concerning Control of Substances Hazardous to Health Regulation (COSHH)
2.1.2	Incidents (serious – adverse events (category I)) (SAERS)	Closure of investigation	Permanent	Consider for transfer to archive
<b>2.2</b>	<b>Board and Formal Decision Making</b>			
2.2.1	Board and Sub-Committees Meetings – minutes and papers	Date of creation	Permanent	Main committees and sub-committees of NHS Boards and special Health Boards and other meetings of significance for legal, administrative or historical reasons.  Consider for transfer to archive
2.2.2	Board Meetings (closed sessions)	Date of creation	Permanent	Consider for transfer to archive
2.2.3	Chief Executive Records	Date of creation	May retain for 20 years	Emails and correspondence should be retained and transferred to an appropriate archival facility if they are considered of archival interest
	Board Members register of interests	Register entry date	6 years	
2.2.4	Committees / Groups / Sub-Committees / Department Meetings not listed in the scheme of delegation to the Board	Date of creation	6 years	Includes minor meetings/projects and departmental business meetings
2.2.5	History of Boards or their predecessor organisations	Date of creation	Permanent	Consider for transfer to archive

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>2</b>	<b>Corporate Governance</b>			
2.2.6	History of hospitals	Date of creation	Permanent	Consider for transfer to archive
2.2.7	Hospital service files	Date of creation	Permanent	Consider for transfer to archive
2.2.8	Register of Seals	Date of creation	Permanent	Consider for transfer to archive
<b>2.3</b>	<b>Complaints</b>			
2.3.1	Complaint case file without litigation – adults	Closure of complaint	7 years	The complaint is not closed until all subsequent process have ceased. The file must not be kept on the patient file. A separate file must always be maintained.
2.3.2	Complaint case file without litigation – children and young adults	Closure of complaint	Until child is 19 or 7 years after closure of complaint	The complaint is not closed until all subsequent process have ceased. The file must not be kept on the patient file. A separate file must always be maintained.
<b>2.4</b>	<b>Copyright / Intellectual Property</b>			
2.4.1	Patent / trademarks / copyright / intellectual property	End of lifetime or patent or termination of licence/action	Lifetime of patent or 6 years from end of licence/action	
<b>2.5</b>	<b>Corporate Policy</b>			
2.5.1	Policies, strategies and operating procedures including business plans	Superseded	Permanent	Consider for transfer to archive
2.5.2	Admission, transfer and treatment of patients – policy files	Superseded	Permanent	Consider for transfer to archive
<b>2.6</b>	<b>Information Governance</b>			
2.6.1	Freedom of Information (FOI) / Environmental Information Regulations (EIR) requests and responses case files	End of calendar financial year	3 years	Where redactions have been made it is important to keep a copy of the redacted disclosed documents or if that is not practical to keep a summary of the redactions

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>2</b>	<b>Corporate Governance</b>			
2.6.2	FOI / EIR requests where there has been a subsequent appeal	Closure of appeal	6 years	
2.6.3	FOI Publication Schemes	Superseded	5 years	
2.6.4	Data Breach Investigation Case Files	Closure of investigation	5 years	If the files are part of an adverse event record, they should be kept for 10 years.
2.6.5	Data Protection Privacy Notices	Superseded	5 years	
2.6.6	Data Protection Impact Assessments	End of lifetime of the system, process or procedure	5 years	
2.6.7	Data Sharing Agreements	Date sharing ceases	5 years	
2.6.8	Data Processing Agreement	End of contract	5 years	
2.6.9	Records Management – destruction register / records of disposal certificates	Date of destruction	Permanent	UK National Archives guidance on Information Management Records.  Consider for transfer to archive
2.6.10	Records Management Plan – plan and supporting evidence	Superseded	5 years	
2.6.11	Retention schedules	Superseded	Permanent	UK National Archives guidance on Information Management Records.  Consider for transfer to archive.
2.6.12	Data Subject Access Request (DSAR) and disclosure correspondence	Closure of SAR	3 years	
2.6.13	Subject Access Request where there has been a subsequent appeal	Closure of appeal	6 years	
<b>2.7</b>	<b>Legal Support</b>			
2.7.1	Litigation file/record (adult)	Date case settled or dropped	7 years	

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>2</b>	<b>Corporate Governance</b>			
2.7.2	Litigation file/record (child)	Date case settled or dropped	Until child is 19 or 7 years after case settled or dropped, whichever is later	The Prescription and Limitation (Scotland) Act 1973 s17(3) and Aged of Legal Capacity (Scotland) Act 1991 s1 provide that in the case of injury suffered by a child time does not begin to run until she/he attains legal capacity which is 16. 16 years + 3 years limitation
2.7.3	Board arrangements legally administered by NHS organisations – documents describing terms of foundation / establishment and winding-up	Date of creation	Permanent	Consider for transfer to archive
2.7.4	Board arrangements legally administered by NHS organisations – other documents	End of financial year	6 years	
<b>2.8</b>	<b>Quality and Performance</b>			
2.8.1	Non-Clinical quality assurance records, including ‘quality improvement tools/records’	End of year to which the assurance relates	12 years	
<b>2.9</b>	<b>Research and Development</b>			
2.9.1	Research and development findings by Board Staff (scientific, technological and medical)	Date of creation	Consider findings and reports for archival preservation	Supporting records should be retained in line with the appropriate clinical, pharmaceutical, laboratory or other research standards, as set out by funding and professional bodies.  Consider for transfer to archive
<b>2.10</b>	<b>Risk Management and Insurance</b>			
2.10.1	Business continuity planning	Date superseded	5 years	
2.10.2	Certificate of Insurance – employers liability insurance (CNORIS)	Date all obligations and entitlements concluded	Permanent	Prescription and Limitations (Scotland) Act 1973 and 1984.  Consider for transfer to archive

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>2</b>	<b>Corporate Governance</b>			
2.10.3	Insurance policy documentation / certificates of insurance	Date all obligations and entitlements concluded	Permanent	Prescription and Limitations (Scotland) Act 1973 and 1984.  Consider for transfer to archive
2.10.4	Risk Register – the assessment of risks	Date superseded	5 years	Consider for transfer to archive
<b>2.11</b>	<b>Strategic Planning</b>			
2.11.1	Corporate Plan / Strategic Service Plan	Superseded	Permanent	Consider for transfer to archive
<b>2.12</b>	<b>Service Planning</b>			
2.12.1	Activity monitoring reports	Date agreement ended	6 years	
2.12.2	Area health plans	Date superseded	Permanent	Consider for transfer to archive
2.12.3	Databases - demographic and epidemiological based on data supplied by NHS National Services Scotland	Date superseded	20 years	In accordance with general policies of NHS National Services Scotland Information Services, and any specific terms and conditions imposed by them in relation to particular data sets
2.12.4	Databases – demographic and epidemiological based on survey data	End of survey	20 years	May be retained indefinitely if data quality and potential for future reuse justifies cost of migration / regeneration to new formats and platforms
2.12.5	Nursing homes pre 1 April 2002: registration documents and building plans	Date of creation	Permanent	The regulation of care services was taken over by the Care Commission on 1 April 2002. <b>Consider for transfer to archive</b>
2.12.6	Patient activity data	Date superseded	3 years	
2.12.7	Service development reports	End of financial year	6 years	
2.12.8	Summary bed statistics	Date of creation	Permanent	Consider for transfer to archive
<b>2</b>	<b>Corporate Governance</b>			
2.12.9	Waiting list monitoring reports	Date superseded	6 years	
2.12.10	Winter business plans	Date superseded	6 years	



## Estates and Facilities

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>3</b>	<b>Estates and Facilities</b>			
<b>3.1</b>	<b>Asbestos</b>			
3.1.1	Asbestos register, equipment monitoring/testing and records of maintenance	Completion of monitoring or test	40 years	Control of Asbestos at Work Regulations 2012
<b>3.2</b>	<b>Maintenance &amp; Equipment – Non-clinical and Clinical</b>			
3.2.1	Cleaning schedules	End of lifetime of installation	Lifetime of installation	
3.2.2	Equipment monitoring/testing and maintenance work e.g. boiler, lifts etc	End of lifetime of installation	Lifetime of installation	Should be retained permanently if there is any measurable risk of a liability.  Consider for transfer to archive
3.2.3	Inventories (non-current) of items having an operational lifetime of less than 5 years	End of financial year	2 years	
3.2.4	Maintenance request books and logs (includes digital systems and databases)	End of financial year	2 years after financial year referred to	
3.2.5	Manuals – operating, policies and procedures	End of lifetime of equipment	Lifetime of equipment/machinery the manual refers to	
3.2.7	Medical Equipment – decontamination records	Date of decontamination	25 years	
<b>3.3</b>	<b>Health and Safety</b>			
3.3.1	Accidents and incident reporting – reporting accidents to adults	Date of entry / Accident book – date of last entry	10 years	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013  Prescription and Limitation (Scotland) Act 1973

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>3</b>	<b>Estates and Facilities</b>			
3.3.2	Accidents and incident reporting – reporting accidents to children	Date of birth of child	25 years	
3.3.3	Audit forms, Control of Substances Hazardous to Health Regulation (COSHH) documentation, safety risk data sheets, risk assessments and control measures etc	Date of last action	40 years	Control of Substances Hazardous to Health Regulations 2002
3.3.4	Reporting of Injuries, Disease and Dangerous Occurrences Regulations 2013 (RIDDOR) including Accident Register	Date of last entry on register	10 years	
3.3.5	National Safety Alert	Date of creation	Permanent	Covers Drug Alerts, Estates & Facilities Alerts, Safety Action Notices etc.
<b>3.4</b>	<b>Property and Land Management</b>			
3.4.1	Buildings – papers relating to occupation, plans and records of major building works	Date of creation	Lifetime of the building or disposal of asset plus six years	Building plans and records of work are potentially of historical interest. Consider for transfer to archive
3.4.2	Building Project Files (£250,000 and over)	Date of creation	Permanent	Including abandoned or deferred projects.  Consider for transfer to archive
3.4.3	Building Project Files (under £250,000)	Completion / abandonment of project	6 years	
3.4.4	Capital charges data	Date of creation	3 years after completion of previous 5 years valuation term	

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>3</b>	<b>Estates and Facilities</b>			
3.4.5	CCTV		See ICO Code of Practice	The length of the retention must be determined by the purposes for which the CCTV has been deployed. The recorded images will only be retained long enough for any incident to come to light (e.g. for a theft to be noticed) and the incident to be investigated
3.4.6	Contaminated Land	Date of creation	Permanent	Consider for transfer to archive
3.4.7	Decommissioning of NHS Buildings – evidential documentation (e.g. clearance checklists and images)	Date of decommissioning of the building or campus	6 years	
3.4.8	Environmental Information (e.g. Environmental reports)	Date of creation	Permanent	Consider for transfer to archive
3.4.9	Green Code	Date of creation	Permanent	Consider for transfer to archive
3.4.10	Property performance	Date of creation	Permanent	Consider for transfer to archive
3.4.11	Property strategy	Date of creation	Permanent	Consider for transfer to archive
3.4.12	Records of custody and transfer of keys	Date of transfer	2 years	
3.4.13	Site Maps	Date of creation	Permanent	Duplicate site maps are not covered by the requirement to be retained permanently e.g. copies held by CLO Consider for transfer to archive
3.4.14	Sustainability records	End of financial year	6 years	
<b>3.5</b>	<b>Property Transactions</b>			
3.5.1	Contracts and agreements	After the end of the contract	6 years	Including non-sealed (property) on termination
	Tenders (unsuccessful)	Date contract awarded to successful bidder	6 years	

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>3</b>	<b>Estates and Facilities</b>			
3.5.2	Deeds of title	Date of creation	Permanent	Title deeds are retained on a permanent basis while the property is retained by the NHS but on disposal, the relevant title deeds are required to be transferred to the purchaser.  Consider for transfer to archive
3.5.3	Land, building and engineering construction procurement: key records (including final accounts, surveys, site plans, bills of quantities, PFI/PPP records) Town and country planning matters and all formal contract documents (including executed agreements, conditions of contract, specification, “as built” record drawings and documents on the appointment and conditions of engagement of private buildings and engineering consultants)	Date of creation	Permanent	Inclusive of major projects abandoned or deferred.  Consider for transfer to archive
3.5.4	Land leases, purchase and sale – deeds, maps, surveys, registers etc	Date of creation	Permanent	Consider for transfer to archive
3.5.5	Land purchased and sale – negotiations not completed	Date negotiations concluded or abandoned	6 years	
3.5.6	Property acquisition dossiers	Date of creation	Permanent	Consider for transfer to archive

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>3</b>	<b>Estates and Facilities</b>			
3.5.7	Property contracts	Date contract ended	6 years	
3.5.8	Property disposal dossiers	Date of creation	Permanent	Consider for transfer to archive
3.5.9	Property management system	Date of creation	Permanent	Consider for transfer to archive
3.5.10	Property purchases and leases	Date of creation	Permanent	Consider for transfer to archive
3.5.11	Property title deeds	Date of creation	Permanent	Consider for transfer to archive
3.5.12	Property – terriers (NHS premises site information)	Date of creation	Permanent	Consider for transfer to archive
3.5.13	Specifications for work tendered	After completion of works	6 years	
<b>3.6</b>	<b>Waste Management</b>			
3.6.1	SEPA Registrations, Licences and Consents	Date of receipt	Permanent	Consider for transfer to archive
3.6.2	Waste Consignment Notes – Controlled wastes such as clinical / healthcare and household / domestic	End of financial year	2 years	
3.6.3	Waste Consignment Notes – Special / Hazardous / Radioactive Wastes	End of financial year	3 years	
3.6.4	Duty of Care Inspection Reports	Date of creation	Permanent, or for life of external contract	Consider for transfer to archive

## Financial Management

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>4</b>	<b>Financial Management</b>			
<b>4.1</b>	<b>Financial Provisions Management</b>			
4.1.1	Accounts – final annual master copies	End of financial year	Permanent	Consider for transfer to archive
4.1.2	Accounts – includes cost, working papers and minor records, advice notes	After completion of statutory audit	3 years	
4.1.3	Audit – (including original documents, management letters, value for money (VFM) reports and system/final accounts memorandum)	After completion of statutory audit	3 years	A longer period may be required for investigate purposes
4.1.2	Budgeting – including budget monitoring reports	End of financial year	3 years	
4.1.2	Financial plans, estimates recovery plans	End of financial year	6 years	
4.1.3	Funding data	End of current financial year	6 years	
4.1.4	Indemnity Forms	End of financial year after the indemnity has lapsed	6 years	
4.1.5	Ledger Balances	End of financial year	6 years	
4.1.6	Mortgage documents – acquisition, transfer and disposal	Date of creation	Permanent	Consider for transfer to archive
4.1.7	Register of gifts and hospitality received by individual members of staff	Register entry date	6 years	

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>4</b>	<b>Financial Management</b>			
4.2.1	Bank Statements	After completion of statutory audit	3 years	
4.2.2	Cash books and sheets	End of financial year	6 years	
4.2.3	Creditor payments	End of financial year	6 years	
4.2.4	Debtor's records (cleared and un-cleared)	Date debt discharged	6 years	Prescription and Limitation (Scotland) Act 1973
4.2.5	Demand Notes	Close of financial year	6 years	
4.2.6	Expenses Claims	End of current financial year	6 years	Taxes Management Act 1970 Keeping VAT Records HMRC Reference Notice 700/21 (October 2013)
4.2.7	Income and expenditure sheets and journals	End of financial year	3 years	
4.2.8	Invoices	End of financial year	6 years	e.g. Invoices payables (creditors), invoices receivable (debtors) and capital paid invoices
4.2.9	Non-exchequer funds records	End of financial year	6 years	
4.2.10	Receipts	End of financial year	3 years	Includes cheques bearing printed receipts
4.2.11	Records of purchasing authorisation limits	Superseded	1 year	
<b>4.3</b>	<b>Fraud Prevention</b>			

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>4</b>	<b>Financial Management</b>			
4.3.1	Inquiries involving fraud / other irregularities	Completion of court proceedings / disciplinary process	6 years	Where action is in prospect or has been commenced, consult with legal representatives and NHS Counter Fraud Services and keep in accordance with advice provided.  Taxes Management Act 1970  Prescription and Limitation (Scotland) Act 1973
4.3.2	Internal Fraud Reports	End of financial year	6 years	
4.3.3	Annual Report to Counter Fraud Services	End of financial year	6 years	



	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>4</b>	<b>Financial Management</b>			
<b>4.4</b>	<b>Payroll and Pensions</b>			
4.4.1	Pay as You Earn (PAYE) records	End of financial year	6 years	
4.4.2	Salary/Wages Records	End of current tax year	10 years	For superannuation purposes authorities, may wish to retain such records until the subject reaches pensionable age
4.4.3	Statutory Maternity Pay Scheme records	End of current tax year	3 years	The Statutory Maternity Pay (General) Regulations S.I 1986/1960 as amended by SI 2005 No.989
4.4.4	Statutory Sick Pay Scheme records	End of current tax year	3 years	Statutory Sick Pay (General) Regulations S.I 1982/894
4.4.5	Superannuation Records	End of financial year	10 years	Includes accounts – registers and forms
4.4.6	Substitute for Return (SFR) returns	End of financial year	6 years	
<b>4.5</b>	<b>Procurement</b>			
4.5.1	Approved suppliers list	Superseded	11 years	
4.5.2	Contracts sealed or unsealed	End of contract	7 years	
4.5.4	Contract management files - including: contract award letters and agreements, post- tender negotiations, service level agreements, compliance reports, performance reports, variations to contracts (revisions, extensions)	End of contract	5 years	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
4.5.5	Contracts – GP Practices and others to deliver core NHS services	Date of contract	Permanen t	Consider for transfer to archive
4.5.6	Indents	End of financial year	2 years	
4.5.7	Medical equipment specifications – major items purchased	Date of purchase	Permanen t	Consider for transfer to archive
4.5.8	Products – liability	Lifetime of Product	11 years	
4.5.9	Purchase ordering records (purchase orders, goods received notes)	End of current financial year	6 years	Keeping VAT records HMRC Reference: Notice 700/21 (October 2013)

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>4</b>	<b>Financial Management</b>			
4.5.10	Register of contracts	Expiration/conclusion of contract		Procurement Reform (Scotland) Act 2014. Section 35. The statutory requirement is that register entries for contracts cannot be deleted until contract expires or is terminated. The authority may choose to keep the entries for a longer period for historical purposes
4.5.11	Stock control reports	Date of creation	2 years	
4.5.12	Stores – major (ledgers etc)	Date of creation	6 years	
4.5.13	Stores – minor (requisitions, issue notes, transfer vouchers, goods received books etc)	Date of creation	2 years	
4.5.14	Supplies records – minor (invitations to tender and inadmissible tenders, routine papers relating to catering and demands for furniture, equipment, stationery and other supplies)	Date of creation	2 years	
4.5.15	Tender evaluation, negotiation and notification records (successful)	End of contract	5 years	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
4.5.16	Tender evaluation, negotiation and notification records (unsuccessful)	Award of tender	5 years	
<b>4.6</b>	<b>Taxation</b>			
4.6.1	Pay as you earn (PAYE) records	End of financial years	6 years	
4.6.2	Substitute for Return (SFR) Returns	End of financial year	6 years	
4.6.3	Tax Forms	End of financial year	6 years	
4.6.4	VAT records	End of financial year	6 years	In some instances, a shorter period may be allowed, but agreement must be obtained from HM Revenue and Customs

## Human Resources

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>5</b>	<b>Human Resources</b>			
<b>5.1</b>	<b>Administering Employees</b>			
5.1.1	Disciplinary – First and Final written warning	Date of termination	6 years	Although the sanction is spent after 12 months, the information relating to the written warning requires to be kept. It forms part of the employee's record which is held for the duration of employment and 6 years after.
5.1.2	Disciplinary – Letter of Dismissal	Date of dismissal	10 years	Where action is in prospect or has been commenced, consult with legal representatives and keep in accordance with advice provided
5.1.3	Disciplinary – Records of action taken, including: Details of rules breached; Employee's defence or mitigation; Action taken and reasons for it; Details of appeal and any subsequent developments	Date of termination	6 years	The Employment Act 2002 deals with dispute resolution but does not give time limits for record retention.  Where action is in prospect or has been commenced, consult with legal representatives and keep in accordance with advice provided
5.1.4	Duty Roster / timesheets	Close of financial year	6 years	
5.1.5	Staff Records – including: personnel files, letters of application and appointment, confirmation of qualifications, contracts, joining forms, references and related correspondence, termination forms, leave cards/information	Date of termination	6 years	Consider section 5.24, regarding the retention of summary information.

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>5</b>	<b>Human Resources</b>			
5.1.6	Staff Training Records	Date of termination	6 years	Consider section 5.24, regarding the retention of summary information.
	Staff Training Records – Nurses	Completion of training	30 years after completion of training	Applies only to Nurse Training carried out in hospital-based nurse training schools. Consider section 5.24, regarding the retention of summary information.
5.1.7	Grievances	Date of termination	6 years	
5.1.8	Referral to Professional Bodies (GMC/NMC/AHPF)	Date of termination	6 years	Consider retaining records for longer if investigation has not yet been concluded by professional body.
5.1.9	Volunteers Records including: personnel files, letters of application and appointment, confirmation of qualifications, contracts, joining forms, references and related correspondence, termination forms	Date of termination	6 years	
5.1.10	Work force placement records	Date of termination	6 years	
<b>5.2</b>	<b>Employee Engagement</b>			
5.2.1	Industrial relations (not routine – including tribunal case records)	Closure of investigation	Permanent	Consider for transfer to archive
<b>5.3</b>	<b>Occupational Health</b>			
5.3.1	Health promotion – core papers and visual materials relating to major initiatives	End of promotion	10 years	Consider for transfer to archive
5.3.2	Occupational Health Reports	Date of termination	6 years	Consider paragraph 221, that details Occupational Health Records must be kept separate from the main staff record.
<b>5.4</b>	<b>Recruitment</b>			
5.4.1	Applications for employment – unsuccessful applicants	Date of recruitment	1 year	
5.4.2	CVs for non-executive directors – successful	End of term of office	5 years	

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>5</b>	<b>Human Resources</b>			
5.4.3	CVs for non-executive directors – unsuccessful		2 years	
5.4.4	Disclosure Scotland information	Date on which recruitment or other decisions have been taken.	90 days	90 days after the date on which recruitment or other relevant decisions have been taken.  Certification number and disclosure level can be retained as a summary record.
5.4.5	Job advertisements	Date of advert	1 year	For jobs where unusual patterns of progression are advertised, it is recommended the job advert paperwork is kept for the length of the progression period plus 6 years if a complain exists
<b>5.5</b>	<b>Equality and Diversity</b>			
5.5.1	Investigations – Case files	Investigation concludes, and actions is spent / Retain current information throughout employment	6 years / Employment term	
5.5.2	Equalities Papers for publication	Superseded	4 years	Equality Act 2010

## Information & Communication Technology

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>6</b>	<b>Information &amp; Communication Technology</b>			
<b>6.1</b>	<b>System Development</b>			
6.1.2	Development and post-implementation changes to an ICT system	Decommissioning of system	5 years	Consider for transfer to archive
<b>6.2</b>	<b>Security Management</b>			
6.2.1	Security protocols for an ICT system	Decommissioning of system	5 years	Prescription and Limitation (Scotland) Act, 1973 and 1984
6.2.2	Opening, maintenance and closure of a user account for an ICT system	Closure of user account	1 year	
6.2.3	Routine monitoring of access to, and use of, an ICT system	End of current year	2 years	
6.2.4	Detection and investigation of security breaches of an ICT system, and action taken	Last action on incident	3 years	
<b>6.3</b>	<b>Systems Operations Management</b>			
6.3.1	Routine monitoring and testing of an ICT system, and action taken to rectify problems and optimise performance	End of current year	1 year	
6.3.2	Investigation of faults reported by users of an ICT system, and action taken to rectify problems	Close of investigation	3 years	
6.3.3	Management of data in an ICT system, including the operation of routine data backup, archiving and deletion routines	End of current year	1 year	
6.3.4	Maintenance of the software licence(s) for an ICT system	Expiry/Termination of licence	5 years	Prescription and Limitation (Scotland) Act, 1973 and 1984

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Recommended Retention Period	Citation/Notes
<b>6</b>	<b>Information &amp; Communication Technology</b>			
6.3.5	Management of an ICT system – system file (including handover documents, user guides, system support, technical and knowledge base documentation)	Decommissioning of system	5 years	
6.3.6	Register of removal/return of mobile ICT systems hardware and software from/to Board premises	Return of equipment	5 years	
6.3.7	Disposal log of arrangements for the sanitisation and disposal of institutional ICT equipment	Disposal of equipment	5 years	
<b>6.4</b>	<b>Systems User Training &amp; Support</b>			
6.4.1	Development of technical and application training and guidance for IT system users	Superseded	1 year	
6.4.2	Logging, investigation and resolution of user requests for technical and application support	Close of call	1 year	