**Appendix B**

**NHS FIFE RETENTION AND DISPOSAL OF RECORDS SCHEDULE**

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| **DOCUMENT CONTROL** | | **GP/R4** | | | **APPENDIX B** |
| Policy Manual/System | General Policy | | | | |
| Author | Corporate Records Manager | | Version No | 2.0 | |
| Reviewer | Head of Corporate Services | | Implementation Date | 01/08/2012 | |
| Next Review Date | 01/08/2019 | |

**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 the Data Protection Act 1998 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 *per se*.

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| **ADMINISTRATIVE RECORD** | **MINIMUM RETENTION PERIODS** | **NOTES** |
| Accident forms | 10 years | See Litigation dossiers/Legal actions/Incident forms |
| Accident register (RIDDOR) | 10 years | See Health & safety – Reporting of injuries |
| Accounts - statutory final | permanent |  |
| Accounts - cost | 3 years |  |
| Accounts – final annual master copies | permanent |  |
| Accounts - minor records (including pass books, paying-in slips, cheque counterfoils, cancelled/discharged cheques, petty cash expenditure, travelling and subsistence accounts, minor vouchers, duplicate receipt books, income records, and laundry lists) | 3 years after completion of the audit | See Receipts for cheques bearing printed receipts |
| Accounts - working papers | 3 years |  |
| Activity monitoring reports | 6 years after end of agreement | See Meeting papers |
| Admission, transfer and treatment of patients – policy files | permanent |  |
| Advice notes | 3 years after formal clearance by statutory auditor |  |
| Agendas |  | See Meeting papers |
| Agreements |  | See Contracts |
| Approval files - contracts | permanent |  |
| Approved suppliers lists | 11 years |  |
| Area health plans | permanent |  |

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| Audit records - original documents | 3 years after formal clearance by statutory auditor | A longer period may be required for investigative purposes |
| Audit reports (including Management letters, VFM reports and system/final accounts memorandum) | 3 years after formal clearance by statutory auditor | A longer period may be required for investigative purposes |
| Bank statements | 3 years after completion of audit |  |
| Benefactions – endowments, legacies gifts etc. | permanent |  |
| Bills of quantity |  | See Building and engineering works |
| Bills, receipts | 6 years |  |
| Board papers – master set |  | See Meetings papers |
| Budget monitoring reports | 3 years |  |
| Budgets | 2 years after completion of audit |  |
| Building and engineering works   * key records (final accounts, surveys, site plans, bills of quantities) * - town and country planning matters and all formal contract documents (executed agreements, conditions of contract, specifications, "as built" record drawings and documents on the appointment and conditions of engagement of private buildings and engineering consultants) | permanent | Inclusive of major projects abandoned or deferred |
| Buildings - papers relating to occupation | Permanent or until property demolished or disposed | Does not include Health & Safety information |

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| Capital charges data | 3 years after completion of previous 5 year valuation term |  |
| Capital paid invoices | 3 years | See Invoices |
| Cash books and sheets | 6 years |  |
| Circulars |  | See NHS Circulars |
| Complaints | 10 years | See Litigation dossiers and Patient complaints |
| Conferences - lectures given by staff at other conferences | permanent |  |
| Conferences: organised by Board - conference proceedings | permanent |  |
| Conferences: organised by Board - routine paperwork | destroy after conference |  |
| Conferences: other conferences attended by staff | 2 years |  |
| Contaminated land | Permanent |  |
| Contracts –GP practices and others to deliver core NHS services | permanent |  |
| Contracts - non sealed (Board Seal) (other) on termination | 6 years |  |
| Contracts - non sealed (Board Seal) (property) on termination | 6 years |  |
| Contracts – sealed with Board Seal | permanent | Including associated records |
| Copies of out-letters (“flimsies” and letter books) | 1 year |  |
| Corporate & public affairs documents | Permanent | See also Board papers |
| Corporate policies | permanent |  |
| Cost accounts |  | See Accounts |
| Creditor payments | 3 years |  |

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| Databases - demographic and epidemiological based on data supplied by NHS National Services, Information Services |  | In accordance with general policies of NHS National Services, Information Services and any specific terms and conditions imposed by them in relation to particular data sets |
| Databases - demographic and epidemiological based on survey data |  | May be retained indefinitely if data quality and potential for future re-use justifies cost of migration / regeneration to new formats and platforms |
| Databases - records handling system | Permanent | Retained to demonstrate implementation of established practice and procedure and provide audit trail, See also Indexes |
| Debtors' records - cleared | 6 years from completion of audit |  |
| Debtors' records – uncleared | 6 years |  |
| Deeds of title | Permanent |  |
| Delivery notes | 2 years |  |
| Demand notes | 6 years |  |
| Departmental requisition and supplies forms |  | See Indents |
| Diaries - office | 1 year after completion |  |
| Disciplinary – first written warning | 6 months |  |
| Disciplinary – final written warning | 12 months |  |
| Disciplinary – first and final written warning | 12 months |  |
| Disciplinary – letter of dismissal | 10 years | Where action is in prospect or has been commenced, consult with legal representatives and keep in accordance with advice provided |
| Disciplinary – Record of action taken  (including details of rules breached, employee’s defence or mitigation, actions taken and reasons for it and, details of appeal and any subsequent developments | 6 years after leaving service |  |

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| Drawings |  | See Building and engineering works |
| Endowments |  | See Benefactions |
| Engineering works |  | See Building and engineering works |
| Environmental Information | Permanent |  |
| Equipment |  | See Products – liability /Procurement documentation |
| Establishment records   * major * (including personnel files, letters of application and appointment, confirmation of qualifications/contracts, joining forms, reference & related correspondence and, termination forms) | 6 years after leaving service |  |
| Establishment records  - minor  (including attendance books, annual leave records, duty rosters, clock cards, timesheets) | 2 years |  |
| Estimates: including supporting calculations and statistics | 3 years |  |
| Expenses claims |  | See Accounts - minor |
| Financial plans, estimates recovery plans | 6 years |  |
| Funding data | 6 years |  |
| General ledgers | 6 years |  |
| Greencode | Permanent |  |
| Health & safety - Accident and incident forms | 10 years | See Litigation dossiers |

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| Health & safety - Reporting of Injuries, Diseases & Dangerous Occurrences Regulations 1995 (RIDDOR) including Accident Register | 10 years |  |
| Health and safety – asbestos register | Permanent |  |
| Health and safety – audit forms, COSHH documentation, safety risk data sheets, risk assessments and control measures etc. | 10 years |  |
| Health promotion – core papers and visual materials relating to major initiatives | Obtain expert advice on permanent preservation |  |
| History of Boards or their predecessor organisations | Permanent |  |
| History of hospitals | Permanent |  |
| Hospital services files (e.g. Utilities) | Obtain expert advice on permanent preservation |  |
| Human resources |  | See Establishment records |
| Incident files | 10 years | See also Serious Incident Files |
| Income and expenditure sheets and journals | 6 years |  |
| Indemnity forms | 6 years after indemnity has lapsed |  |
| Indents | 2 years after financial year referred to |  |
| Indexes - file and document lists marked for permanent preservation | permanent |  |

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| Indexes - file and document lists not marked for permanent preservation | destroy when no longer useful | Retention may be required if they are part of audit trails |
| Industrial relations (not routine) | permanent |  |
| Inquiries involving fraud/other irregularities. | 10 years | Where action is in prospect or has been commenced, consult with legal representatives and fraud investigation unit and keep in accordance with advice provided |
| Inspection Reports - e.g. boilers, lifts etc. | 2 years after operational lifetime of installation/plant | Should be retained indefinitely if there is any measurable risk of a liability |
| Inventories (non-current) of items having an operational lifetime of less than 5 years | 2 years |  |
| Invoices payable (creditors) | 6 years |  |
| Invoices receivable (debtors) | 6 years |  |
| Land purchase and sale – deeds, leases, maps, surveys, registers etc | Permanent |  |
| Land purchase and sale – negotiations not completed | 6 years |  |
| Land registers |  | See Land purchase and sale |
| Land surveys |  | See Land purchase and sale |
| Laundry lists |  | See Accounts - minor |
| Leases | Permanent |  |
| Leavers‟ dossiers |  | See Establishment records - major |
| Ledgers | 6 years | See also General ledgers |

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| Legacies |  | See Benefactions |
| Legal actions (adult) | 10 years after case settled or dropped |  |
| Legal actions (child) | Until age of 18 or 10 years after case settled or dropped, whichever is later |  |
| Letters of appointment |  | See Establishment records - major |
| Litigation dossiers - complaints including accident reports | 10 years | Where a legal action has commenced see Legal actions |
| Maintenance contracts | 6 years after termination | See also Contracts |
| Maintenance request book | 2 years after financial year referred to |  |
| Manuals – operating |  | See Inspection reports |
| Manuals - policy and procedure –master copies | Permanent |  |
| Maps | Obtain expert advice on permanent preservation |  |
| Medical Equipment – operating manuals | Operational lifetime of equipment |  |
| Medical equipment specifications - major items purchased | Permanent |  |
| Meeting papers - duplicate copies | 1 year |  |
| Meeting papers – master set – Board and committees of the Board | Permanent |  |

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| Meeting papers – master set – Other committees, short life working groups etc | 3 years |  |
| Minutes - signed master set – Board and committees of the Board | Permanent |  |
| Minutes - signed master set – Other committees, short life working groups etc | 3 years |  |
| Minutes – duplicate copies | 1 year |  |
| Mortgage documents – acquisition, transfer and disposal | Permanent |  |
| NHS circulars – master copies | Permanent |  |
| Non-exchequer funds records |  | See Income and expenditure journals |
| Nursing home – pre April inspection reports and general correspondence | 5 years |  |
| Nursing home – pre April 2002 registration documents and building plans | permanent | The regulation of care services was taken over by the Care Commission on 1 April 2002 |
| Option appraisals | 6 years after end of agreement |  |
| Patient activity data | 3 years |  |
| Patient complaints without litigation – children and young adults | until child is 18 or 10 years, whichever is later |  |
| Patient complaints without litigation –adults | 10 years |  |
| PAYE records | 6 years |  |

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| Personal development: Nurses – training records | 40 years after completion of training |  |
| Personal development – Study leave applications | 2 years |  |
| Personnel files |  | See Establishment records |
| Photographs | Consider for permanent preservation | Corporate and publicity photographs, not those used for patient care purposes.  See also specific subjects. |
| Plans |  | See Building and engineering works |
| Press cuttings | obtain expert advice on permanent preservation |  |
| Press Releases and release of information to the press (including photos and consent forms) | 3 years |  |
| Procurement documentation | 7 years | One copy of each supplier response from short listed to tender and the contract itself. |
| Products – liability | 11 years |  |
| Project files (£250,000 and over) | Permanent | Including abandoned or deferred projects |
| Project files (under  £250,000) | 6 years after completion / abandonment of project |  |
| Project team files (£250,000 and over) | 3 years after completion or abandonment of scheme |  |
| Project team files (under  £250,000) | 3 years after completion or abandonment of scheme |  |
| Property - acquisitions | permanent |  |

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| dossiers |  |  |
| Property – building records |  | See Buildings and Engineering Works |
| Property/Estates – Land, Building & Engineering Construction Procurement |  | See Buildings and Engineering Works |
| Property - cleaning and maintenance (contracts less than £100,000) | 6 years |  |
| Property - disposal dossiers | permanent |  |
| Property – leases | Permanent | See Leases |
| Property management system | Permanent |  |
| Property - minor contracts | 6 years |  |
| Property performance | Permanent |  |
| Property – purchases | permanent |  |
| Property strategy | Permanent |  |
| Property – Terriers (NHS Premises Site Information) | Permanent |  |
| Property - title deeds |  | See Deeds of title |
| Public affairs strategy, public involvement documents |  | See Corporate policies |
| Purchase orders | 3 years after the financial year to which they relate |  |
| Quality assurance records | 12 years |  |
| Quarterly counts | 6 years |  |
| Receipt for registered and recorded delivery mail | 2 years |  |
| Receipts | 6 years | Includes cheques bearing printed receipts |
| Record of custody and transfer of keys | 2 years |  |

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| Recruitment: Applications for employment – unsuccessful applicants | 1 year after completion of recruitment procedure |  |
| Recruitment: CVs for Non Executive Directors (successful) | 5 years following end of term of office |  |
| Recruitment: CVs for Non Executive Directors (unsuccessful) | 2 years |  |
| Recruitment: Disclosure Scotland information | 6 months | Six months after the date on which recruitment or other relevant decisions have been taken. |
| Recruitment: Job advertisements | 1 year |  |
| Register of seals | permanent |  |
| Reports - major | permanent |  |
| Requisitions | 2 years after financial year referred to |  |
| Research and development  (scientific, technological and medical) | obtain expert advice on permanent preservation |  |
| Safety Action Bulletins | Permanent |  |
| Salaries |  | See Wages |
| Scottish Executive, SFR returns etc. | 6 years |  |
| SEPA Registrations, Licences and Consents | Permanent |  |
| Serious incident files | Permanent |  |
| Service development reports | 6 years | Excluding Board reports. See Corporate policies and Corporate documents |

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| Service level agreements | 6 years |  |
| Site files |  | See Building and engineering works |
| Software licenses | operational lifetime of product |  |
| Specifications for work tendered | 6 years |  |
| Staff Records |  | See Establishment records |
| Stock control reports | 2 years |  |
| Stores - major (ledgers etc.) | 6 years |  |
| Stores - minor (requisitions, issue notes, transfer vouchers, goods received books etc.) | 2 years |  |
| Strategic plans | Permanent |  |
| Study leave applications | 2 years |  |
| Subject files (Policy) | permanent | Files relating directly to the formulation of policy and major controversies must be permanently preserved. Other files should be disposed of when no longer needed. |
| Subject files (Other) | When no longer required |  |
| Summary bed statistics | permanent |  |
| Superannuation Forms | 10 years |  |
| Superannuation - accounts and registers | 10 years |  |
| Supplier correspondence | 6 years after termination of agreement |  |

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| Supplies records - minor (e.g. invitations to tender and inadmissible tenders, routine papers relating to catering and demands for furniture, equipment, stationery and other supplies) | 2 years |  |
| Surveys - building and engineering works |  | See Building and engineering works |
| Tax forms | 6 years |  |
| Tenders (successful) |  | See Contracts |
| Tenders (unsuccessful) | 6 years |  |
| Telephone call logging stats (IP Based Telephony) | 2 years | Within eHealth Telephony only |
| Telephone call recordings  (IP Based Telephony)  Switchboard  OOH & A&E Consultants  All others | 2 years  18 months  6 months minimum | Within eHealth Telephony only |
| Time sheets |  | See Establishment records - minor |
| Title deeds |  | See Deeds of title |
| Town & country planning |  | See Building and engineering works |
| Travelling and subsistence expenses |  | See Accounts - minor |
| Trust arrangements legally administered by NHS organisations - documents describing terms of foundation/ establishment and winding up | permanent |  |
| Trust arrangements legally administered by NHS organisations – other documents | 6 years |  |

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| VAT records | 6 years | In some instances a shorter period may be allowed, but agreement must be obtained from Customs & Excise |
| Wages/salary records | 10 years | For superannuation purposes authorities may wish to retain such records until the subject reaches benefit age |
| Waiting list monitoring reports | 6 years |  |
| Waste Consignment Notes  – controlled wastes such as clinical/healthcare and household/domestic | 2 years |  |
| Waste Consignment Notes  – Special/Hazardous/ Radioactive Wastes | 3 years |  |
| Waste – Duty of Care Inspection Reports | Permanent, or for life of external contract |  |
| Winter business plans | 6 years |  |