

Witness Name: Ian Walker

Statement No: First

Exhibits: IW1 TO IW14

Dated: 28 November 2019

INFECTED BLOOD INQUIRY

EXHIBIT "IW5"

This is Exhibit "IW5" referred to in the statement of Ian Walker dated 28 November 2019.

Signed:

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Ian Walker

GRO-C

Policy and Procedure

Records: Preservation, Retention and Destruction

Key messages

- All staff must comply with the Retention and Destruction Schedule before destroying any records (paper or electronic).
- All departments must have a Local Retention and Destruction Schedule in place for records that are not identified in the Trust Retention and Destruction Schedule
- Any records not identified by the Trust or Local Retention and Destruction Schedule should be referred to the Local Records Manager before destruction.
- Once the retention period has been reached the record should be destroyed in line with the Trust's Waste Disposal Policy and Procedure

1 Scope

This policy applies to all Trust employees, including:

- staff who hold honorary contracts
- contractors working on behalf of the Trust
- the Board of Governors
- non-executive directors.

2 Purpose

- inform staff of the Trust requirements in relation to retention and destruction and what is expected of them.
- to ensure that the Trust complies with the relevant legislation and codes of practice.

3 Introduction

This document will apply to all information recorded and held by the Trust, both Corporate and Health records in any format. This document provides the procedures for the preservation, retention and destruction of all Trust records both Corporate and Health records.

4 Responsibilities

Chief Executive: has overall responsibility for record management in the Trust. As accountable officer he is responsible for the management of the organisation and for ensuring appropriate mechanisms are in place to support service delivery and continuity.

Information Governance

Directorate of information, Systems and Analysis

The Trust has a particular responsibility for ensuring that it corporately meets its legal responsibilities, and for the adoption of internal and external governance requirements.

Board responsibility: The Director of Information, Systems and Analysis is responsible for raising issues to the Trust Board as appropriate.

Head of Patient Services has lead responsibility for Records Management across the Trust.

Information Governance Lead ensures compliance with the information governance toolkit. Oversees the work programme to ensure that all requirements are met.

Data Awareness Manager is responsible for ensuring that this policy is implemented throughout the Trust and processes are developed, coordinated, monitored and reviewed and for providing advice, assistance, and training to all staff.

Senior Managers are responsible for ensuring that their staff complies with this policy and procedure.

Local Record Managers (LRM) (nominated by Senior Managers within each department) are responsible for ensuring that staff within their directorate/department are informed and comply with this policy and procedure and to ensure that there is a Local Retention and Destruction Schedule in place and that this is reviewed on a regular basis.

All Staff must ensure that they comply with this policy and procedure. Records should be retained as per the agreed Trust retention and destruction schedule and local retention and destruction schedule.

Trust Archivist is responsible for maintaining the Trust archives and processing requests for access to this material.

5 Definitions

Corporate record

A corporate record is defined as 'recorded information (excluding health records), in any media, which has been created or gathered as a result of any aspect of the work of all Trust employees.'

Health record

A health record consists of information relating to the physical or mental health or condition of an individual and has been made by or on behalf of a health professional in connection with the care of the individual in any medium.

6 Preservation, retention and destruction of Records

Retention and Destruction Schedule

The Trust has an approved Trust Retention and Destruction Schedule in place, please refer to Connect, [Trust Retention and Destruction Schedule](#) that identifies the retention periods for a number of records.

In addition, all departments will have an approved Local Retention and Destruction Schedule in place that identifies all unique records created and held within the department that are not listed on the Trust Retention and Destruction Schedule. Departments are required to make the decision as to how long this information is required to operate the business and service of the department.

Local Records Managers are responsible for maintaining the Local Retention and Destruction Schedule and ensuring that a copy of the most up to date schedule is sent to the Data Awareness Manager.

The Local Retention and Destruction Schedule should be regularly reviewed but as a minimum at least every two years.

[Appendix 1](#) outlines the process for producing/reviewing a Local Retention and Destruction Schedule.

Appraisal of records

Records should be appraised in line with the Trust and Local Retention and Destruction Schedule to determine whether they should be retained or destroyed.

Records not identified on either of these schedules should be reviewed every 5 years. If the records have been retained for 30 years since the year that they were created then they should be considered for permanent preservation and passed to the Archivist for preservation.

Records for permanent preservation

If material is in a category selected for permanent preservation, the original document must be preserved. Further guidance on this can be obtained from the Trust's archivist.

The records that should be permanently preserved are indicated in the Trust Retention and Destruction Schedule, [Trust Retention and Destruction Schedule](#).

Records should be passed to the Archivist no later than thirty years after their creation. Arrangements can be made directly with the archivist to pass records to the public records deposit earlier than this if appropriate.

If a record is identified for permanent preservation but is not listed on the Trust's Retention and Destruction Schedule, the nominated LRM should be contacted. The LRM will then liaise with the Trust Archivist and Data Awareness Manager to make a decision on the permanent preservation of this record.

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Records that are the subject of a request for information under the Freedom of Information Act 2000

It is essential that all records that are the subject of a request for information under the Freedom of Information Act 2000 should be retained until the processing of the request for information is completed. Departmental Data Awareness Representatives will inform the relevant staff not to destroy any information relevant to the request until otherwise informed.

Destruction of records that are not identified on the Trust or Local Retention and Destruction Schedule

For all records that need to be destroyed, that are not identified on either the Trust or Local Retention and Destruction Schedule, a review should take place as to whether the record should be retained.

The LRM should be contacted and if the destruction of the record(s) is appropriate the LRM will authorise the destruction. The LRM will log all decisions to destroy the records. Recording:

- the title and description of the record,
- the date of the request to destroy the record,
- the reason destruction has been requested
- the date authorisation was given to destroy the record.

This log will be maintained by the LRM.

If authorisation is not given to destroy the record(s), the LRM will advise the member of staff of this decision. A decision will be made by the LRM as to how long this record should be retained for. This record should then be included in the departments Local Retention Schedule.

Retention and destruction of health records

The Trust has a non destruction policy for all patient records excluding records of deceased patients and Accident and Emergency cards.

All health records should be destroyed 8 years following the date of death with the exception of:

- Children who have died in infancy/childhood aged less than 25 years. These records must be kept until the date which would have the child's 25th birthday.
- All records of mothers of the above who can be identified as such (Obstetric and general records).
- Obstetric and psychiatric records must be kept for 25 years and 20 years respectively regardless of whether that patient has died or not.
- Any individual records identified by Consultant Medical Staff as 'Do not destroy'.

Deceased patient's records are archived off site for a period of 8 years or in the case of children up to 25 years. They are archived by type of record e.g. child, study, obstetric and acute and in date of destruction order. Medical Records maintain a database of records stored off site. Requests for the retrieval of archived notes from off site storage should be made to Medical Records on extension 6613/3713.

Accident and Emergency cards which are not filed in the casenotes, because the patient was neither admitted to the hospital nor had a follow up out-patient

Information Governance

Directorate of information, Systems and Analysis

appointment, are kept in the Accident and Emergency department for 3 months. These are then removed to the F & G basement for a further 2.5 years. After this date they are archived off site for a period of 8 years or in the case of children 25 years. Accident and Emergency hold a record of all Accident and Emergency cards stored off site. Cards that are over 8 years old, except for those held for children are destroyed.

Personal health records of patients where microfilmed from 1972 to 1987.

Personal health records of patients who had not attended Addenbrookes for 4 years where microfiched from 1990 to March 1996. Personal health records identified by Consultants as 'Do not microfiche' are excluded.

From 1998 an image has been created of all health records of patients who have not attended for 4 years. Once the records have been imaged then the hard copy is incinerated. Images are viewed via eMR. All Obstetrics records for delivered babies are held electronically, viewable by eMR excluding the most recent pregnancy that is held in paper in the acute case notes. Other imaged records are available on eMR and users are advised via reference in the paper case notes where to locate the record.

Retention and Destruction of research records

Research records should be retained in accordance with the Trust's Retention and Destruction Schedule and any guidance applicable to the specific research.

Destruction of electronic records

Records held on a network folder/email server must be deleted from the system and also from the Recycle bin. For records held on mobile devices, if the mobile device is being reused then the record should be simply deleted from the device. If the device and its records are no longer of any use, it must be disposed off securely in accordance with the [Waste Disposal Policy](#).

Destruction of paper records

Paper records that contain personal identifiable or Business Confidential information must be destroyed securely either by placing in a confidential bin, shredding or by placing in a black plastic sack or contacting Estates and Facilities on 2696 to arrange collection.

Records that are not confidential can be destroyed locally in waste bins (please note waste from waste bins is treated like domestic waste and goes to landfill sites). Please refer to the [Waste disposal policy](#) and [Waste disposal procedure](#) for more information

Disclosure of information

At any stage in a records life cycle an author of a record can ask the Data Awareness Manager to review the record, to establish if an exemption under the Freedom of Information Act 2000 is appropriate that would close the record or part of the record from disclosure for a period of time or permanently. Any decision to close a record would be recorded on the record.

7 Monitoring compliance with and the effectiveness of this policy

Key standards to be monitored:

- records are retained, disposed of and destroyed as per the retention and destruction schedules;
- that all departments have in place a local retention and destruction schedule.

The above standards will be monitored by the information governance team and medical records staff by the following means:

Corporate records

- Local Records Managers (LRM's) will be required to undertake an annual retention and destruction audit
- The Data Awareness Manager or their nominated representative will issue a checklist/audit sheet to each LRM to complete and return on an annual basis.
- An action plan, specific to each local area, will be produced by the Data Awareness Manager as appropriate and sent to the LRM.
- Compliance with the action plan will be monitored by the Data Awareness Manager in conjunction with the LRM.
- The results of the audits and actions plans will be reported to the Information Governance Steering Group
- Reports are sent to the Information Services Project Board (ISPB) and the Board for information

Health records

- A quarterly audit ensuring correct retention, disposal and destruction of health records is undertaken by Medical Records. The medical records co-ordinator spot checks that records within the confidential disposal bags have been tracked on HISS accordingly i.e. 'Destroyed' and 'Disked'. The results of the audit are summarised in the Health Records Quarterly report presented to the Medical Records Review Group (MRRG)
- The MRRG is responsible for reviewing the results of the audits undertaken and for identifying and monitoring any actions required.
- Reports are also sent to the Information Services Project Board (ISPB) and the Board for information.

8 References

Access to Health Records Act 1990
National Health Service Litigation Authority
Common Law on Confidentiality
Data Protection Act 1998
Freedom of Information Act 2000 – Section 46
Information Governance Toolkit
Public Records Act 1958
Records Management Code of Practice

Information Governance

Directorate of information, Systems and Analysis

9 Associated documents

Access to Health Records policy and procedure
Confidentiality of Personal Health Information policy and procedure
Data Protection policy and procedure
Data Storage Policy
Developing Trust Documents (Policies, Procedures, Protocols, Guidelines, Standards, Integrated Care Pathways, Patient Group Directions, Standard Operating Procedures and Work Instructions)
Information Security Policy
Internet and Email Use Policy
Medical Records procedures
Records Management Policy and Procedure
Records Management Strategy
Waste Disposal Policy and Procedure
Standards for health record keeping policy and procedure

Equality and diversity statement

This document complies with the Cambridge University Hospitals NHS Foundation Trust service equality and diversity statement.

Disclaimer

It is **your** responsibility to check against the electronic library that this printed out copy is the most recent issue of this document.

Document management

This table will be completed by the Trust Documents Team:

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Owning department:	Information Governance		
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Version number:	V6	Review date:	
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Appendix 1: Process to set up/review a Local Retention and Destruction Schedule

Setting up a new Local Retention and Destruction Schedule

1. Review the Trust Schedule and identify if the department keeps any records that are not covered by the Trust Schedule.
2. List these records (not covered on the Trust Schedule) on the Local Schedule. Please use the local schedule template on Connect [Local Retention and Destruction Schedule](#)
Please note:
Do not include records identified on the Trust Schedule unless for specific business reasons the department wishes to retain these for a longer period than that identified on the Trust Schedule
3. Decide with relevant staff in the department how long these records should be retained for. Records should only be retained for as long as needed to meet business and departmental needs, do not retain records just in case and justify why they need to be kept.
4. Once the Local Retention and Destruction Schedule has been approved by the department a Senior Manager/ADO should sign off the schedule.
5. A review date should be set for two years on from the date of approval.
6. Forward a copy of the approved schedule to the Data Awareness and Training Manager.

Review of a Local Retention and Destruction Schedule

1. The Local Retention and Destruction Schedule can be reviewed and updated at any time but as a minimum should be reviewed at least every two years.
2. Check the contents of the schedule against records that are held locally and the Trust Retention and Destruction Schedule. Remove or add records as appropriate. Check the length of retention period for the records and ensure that this is still appropriate. Follow steps 3 to 6 above.

Further guidance is available from the Data Awareness Manager.

**Cambridge University Hospitals NHS Foundation Trust
Addenbrooke's Hospital**

Trust Retention and Destruction Schedule as per the Department of Health Guidelines

The recommended periods of retention apply to both paper and computerised records.

HEALTH RECORDS					
Ref	Record Type	Retention Period	Notes	Final action	Comments
HR 1	Acute case notes (including AHP notes and blood transfusion records)	30	For acute Case Notes excluding Deceased Patient Records. An image of these notes is made electronically for all health records where the patient has not attended for 4 years. Prior to this notes where microfiche from 1990 to 1996 Records that are marked do not destroy should be retained in paper format as well	Likely to have archival value offer to Archivist before destruction	Trust addition to cover imaged records
HR 2	Children's and young peoples' records	See notes box	Records are imaged – refer to number 1. Until patient's 25th birthday, or 26th birthday if patient was 17 at conclusion of treatment, or 8 years after death. If the illness or death could have potential relevance to adult conditions or have genetic	Destroy under confidential conditions	National Guidance

			implications for the family of he deceased, the advice of clinicians should be sought as to whether to retain the records for a longer period		
HR 3	Creutzfeldt-Jakob Disease	30	Records are imaged – refer to number 1. From diagnosis including deceased patients.	Likely to have archival value offer to Archivist before destruction	National Guidance from the CJD Incidents panel
HR 4	Clinical psychology	20		Likely to have archival value offer to Archivist before destruction	National Guidance
HR 5	Deceased patients	8	8 years after death. Includes Mental Health patients. Excluding CJD patients notes these should be retained for 30 years.	Destroy under confidential conditions	National Guidance
HR 6	Genetic Records (Separate records)	30 from date of last attendance	Please refer to the Code of Practice and Guidance of the Advisory Committee on Genetic Testing (1997)	Likely to have archival value offer to Archivist before destruction	National Guidance
HR 7	Genito Urinary Medicine (GUM) (Separate Records)	10	After last entry For clients under 18 – retain until 25 th birthday or for 10 years after last entry, whichever is the longer i.e. records for clients aged 16-17	Destroy under confidential conditions	National Guidance

			<p>should be retained for 10 years and records for clients under 16 should be retained children retain until age 25 (i.e. still retained for at least 10 years)</p> <p>Records of deceased persons should be retained for 8 years after death For children retain until 25th birthday or 26th if patient is 16yrs old.</p> <p>See also Guidance on the Retention and Disposal of Hospital Notes, British Association for Sexual Health and HIV (BASHH)</p>		
HR 8	Hand held records – e.g. Parent hand held records or Maternity	See notes	At the end of the episode of care the Trust should make the appropriate arrangements to retrieve the hand held records. The hand held records should then be filed in the Acute Case Notes – see number 1	Destroy under confidential conditions	National Guidance
HR 9	Health records (excluding records specified elsewhere in this schedule)	8	After conclusion of treatment	Destroy under confidential conditions	National Guidance
HR 10	Health records for classified persons under medical surveillance	See notes	50 years from the date of the last entry or age 75, whichever is the longer.	Destroy under confidential conditions	National Guidance
HR	Maternity records including	25	Records are imaged – refer to	Destroy under	National Guidance

11	obstetric and midwifery.		number 1. After the birth of the last child. Includes all obstetric and midwifery records including those of episodes that end of stillbirth or where the child later dies. Held in imaged format.	confidential conditions	
HR 12	Mentally disordered patients (within the meaning of any Mental Health Act)	20	20 years after last entry in the record or 8 years after the patients death if patient died while receiving treatment	Destroy under confidential conditions	National Guidance
HR 13	Oncology patient records (including radiotherapy)	30	Records are imaged – refer to number 1. Records should be contained on a computer database if possible. Consider the need for permanent preservation for research purposes	Likely to have archival value offer to Archivist before destruction	National Guidance
HR 14	Pre-1948 records	Permanent	Notes retained with archivist		Trust addition to cover records held in archive

OCCUPATIONAL HEALTH RECORDS					
HR 15	Immunisation and vaccination records	10	Children and young people - Retain until patient's 25 th birthday or 26 th if young person was 17 at conclusion of treatment	Destroy under confidential conditions	National Guidance
HR 16	Occupational health records (staff)	See notes	3 years after termination of employment unless litigation	Destroy under confidential	National Guidance

			ensures (see litigation)	conditions	
HR 17	Personal exposure of an identifiable employee monitoring record	40	From exposure date	Destroy under confidential conditions	National Guidance
HR 18	Personnel health records under occupational health surveillance	40	From the last entry on the record	Destroy under confidential conditions	National Guidance
HR 20	Radiation dose records for classified persons	See notes	50 years from the date of the last entry or age 75, whichever is the longer	Destroy under confidential conditions	National Guidance
HR 21	Occupationally Related Diseases e.g. asbestosis, pneumoconiosis, byssinosis	10	After date of last entry in the record	Destroy under confidential conditions	National Guidance

OTHER HEALTH RECORDS					
	Record type	Retention period	Notes	Final Action	Comments
HR 22	Abortion – Certificate A (Form HSA1 and Certificate B (Emergency Abortion)	3	Abortion regulations 1991 – Statutory Instrument No. 499	Destroy under confidential conditions	National Guidance
HR 23	Accident and Emergency Registers	8	Retain for 8 years after the year in which they relate in the department, offer to Archivist for permanent retention before destroying.	Likely to have archival value offer to Archivist before destruction	National Guidance
HR 24	Accident and Emergency Cards	8 yrs adults 25 children (26 if child 17) 20 yrs for mentally disordered persons (MH Act) 8 yrs after death	When patients are admitted or returning for follow up outpatient appointment the original A&E card is filed in patients acute notes. Discharged patients A&E cards retained in department as per retention period.	Destroy under confidential conditions	National Guidance
HR	Admission books – paper copies	8	Retain for 8 years after the	Likely to have	National Guidance

25			last entry in the department, offer to Archivist before destroying.	archival value offer to Archivist before destruction	
HR 26	Angiography tapes and disks	8		Destroy under confidential conditions	National Guidance
HR 27	Audiology records	8 yrs adults 25 children (26 if child 17) 20 yrs for mentally disordered persons (MH Act) 8 yrs after death		Destroy under confidential conditions	National Guidance
HR 28	Audit trails (Electronic Health Records)	NHS Organisations are advised to retain all audit trails until further noticee		Destroy under confidential conditions	National Guidance
HR 29	Birth registers (i.e. register of births kept by the hospital)	2	Retain for 2 yrs after the year in which they relate in the department, offer to Archivist for permanent retention before destroying	Likely to have archival value offer to Archivist before destruction	National Guidance
HR 30	Birth Notification (to Child Health Department)		Until patient's 25th birthday, or 26th birthday if patient was 17 at conclusion of treatment, or 8 years after death.	Destroy under confidential conditions	National Guidance
HR 31	Chaplaincy records – patient identifiable	2		Destroy under confidential conditions	National Guidance
HR 32	Child Protection register (records relating to)	Retain until the patient's 26 th birthday or 8 years		Destroy under confidential conditions	National Guidance

		after the patient's death if the patient died while in the care of the organisation			
HR 33	Clinical audit records – raw data (paper and electronic)	6 months after report/presentation is finalised		Destroy under confidential conditions	Trust addition
HR 34	Clinical audit records – reports – paper copies	5		Destroy under confidential conditions	National Guidance
HR 35	Clinical audit records – reports – electronic versions	Permanent			Trust addition
HR 36	Counselling records	20 years or 8 years after the patient's death if patient died while in the care of the organisation	Guidance for the best practice: the employment of counsellors and psychotherapists in the NHS, British Association for Counselling and Psychotherapy (BACP) 2004 NB " Those (counsellors) working within the NHS may be obliged to make counselling entries onto the patient's medical records or in case-file..." These records are subject to retention periods in this schedule.		National Guidance
HR 37	Death registers (i.e. register of deaths kept by the hospital, where they exist in paper format)	2	Retain for 2 yrs after the year in which they relate in the department, offer to Archivist for permanent retention before destroying	Likely to have archival value offer to Archivist before destruction	National Guidance

HR 38	Death, Cause of Certificate Counterfoils	2		Destroy under confidential conditions	National Guidance
HR 39	Dental, ophthalmic and auditory screening including Orthodontic Records and Models	See notes	Adult records – retain for 8 years Children and young people-retain until the patient's 25 th birthday or 26 th if young person was 17 at conclusion of treatment or 8 years after death. If the illness or death could have potential relevance to adult conditions or have genetic implications, the advice of clinicians should be sought as to whether to retain the records for a longer period.	Destroy under confidential conditions	National Guidance
HR 40	Diaries – health visitors, district nurses and community staff	2	Retain for two years after the end of the year to which the diary relates. Patient relevant information should be transferred to the patient record	Destroy under confidential conditions	National Guidance
HR 41	Diaries – clinical for appointments etc	1		Destroy under confidential conditions	Trust addition
HR 42	Dietetic and nutrition	See notes	Retain for the period of time appropriate to the patient/speciality e.g. children's records should be retained as per the retention	Destroy under confidential conditions	National Guidance

			period for the records of children and young people; mentally disordered persons (within the meaning of the Mental Health Act 1983) 20 years after the entry in the record or 8 years after the patient's death if the patient died while in the care of the organisation		
HR 43	Discharge book (i.e. register of those discharged by the hospital) where they exist in paper format.	8	Retain for 8 yrs after the year in which they relate in the department, offer to Archivist for permanent retention before destroying	Likely to have archival value offer to Archivist before destruction	National Guidance
HR 44	DNA (health records for patients who did not attend for appointments as outpatients	See notes	Where there is a letter or correspondence informing the healthcare professional/organisation that has referred the client/patient/service user that the patient did not attend and that no further appointment has been given, so this information is also held elsewhere. Retain for 2 years after the decision is made. Where there is no letter or correspondence informing the healthcare professional/organisation that has referred the client/patient/service user that	Destroy under confidential conditions	National Guidance

			the patient did not attend and that no further appointment has been given. Retain for the period of time appropriate to the patient/specialty.		
HR 45	Electrocardiogram (ECG) Records	7		Destroy under confidential conditions	National Guidance
HR 46	Hearing screening records	25		Destroy under confidential conditions	Trust addition
HR 47	Homicide/"serious untoward incident" records	30		Destroy under confidential conditions	National Guidance
HR 48	Hospital acquired infection records	6			National Guidance
HR 49	Hospital records (i.e. other non-specific secondary care records that are not listed elsewhere in this schedule)	See notes	8 years after conclusion of treatment or death	Destroy under confidential conditions	National Guidance
HR 50	Human fertilisation records, including embryology records	See notes	<p>If a live child is not born, records should be kept for at least 10 years after conclusion of treatment.</p> <p>If a live child is born, records should be kept for at least 30 years after the child's birth</p> <p>If there is no evidence whether a child was born or not, records must be kept for at least 50 years and the</p>	Destroy under confidential conditions	National Guidance

			information was first recorded.		
HR 51	Intensive care unit charts – where kept separate from the acute case notes	8 yrs adults 25 children (26 if child 17) 20 yrs for mentally disordered persons (MH Act) 8 yrs after death		Destroy under confidential conditions	National Guidance
HR 52	Neonatal screening records	25		Destroy under confidential conditions	National Guidance
HR 53	Notifiable disease book	6		Destroy under confidential conditions	National Guidance
HR 54	Operating Theatre Lists (paper)	See notes	4 years (for those lists that only exist in paper format and are the sole record) 48 hours (for prints taken from computer records)	Destroy under confidential conditions	National Guidance
HR 55	Occupational Therapy	See notes	Retain for the period of time appropriate to the patient/speciality e.g. children's records should be retained as per the retention period for the records of children and young people; mentally disordered persons (within the meaning of the Mental Health Act 1983) 20 years after the entry in the record or 8 years after the patient's death if the patient died while in the care of the	Destroy under confidential conditions	National Guidance

			organisation		
HR 56	Operating Theatre registers	8	Retain for 8 yrs after the year in which they relate in the department, offer to Archivist for permanent retention before destroying	Likely to have archival value offer to Archivist before destruction	National Guidance
HR 57	Outpatient clinic lists (where they exist in paper format)	2 months	After the month to which they relate	Destroy under confidential conditions	National Guidance is for 2 yrs – this is felt to be excessive. Local guidance for 2 months
HR 58	Patient Photographs/ Medical Illustrations	30 Years	See Patient Health records To be treated as part of the health record. Electronic copies of clinical photographs retained for 25 years. All other copies of photographs retained permanently.		Trust decision
HR 59	Private patient's records admitted under section 58 of the National Health Service Act 1977 or section 5 of the National Health Service Act 1946.	See notes	See Patient Health Records Although technically exempt from the public records acts it would be appropriate for such records to be treated as if they were not so exempt. See Hospital patient case records	Destroy under confidential conditions	National Guidance
HR 60	Records of destruction of health records (case notes)	Permanent			National Guidance
HR 61	Recovery Room Registers (Operating Theatre)	8		May have archival value offer to Archivist before	National Guidance

				destruction	
HR 62	Referral letters for clients referred to health or care services but not accepted	See notes	Where there is a letter or correspondence detailing the reasons for non-acceptance that goes to the organisation that has referred the client, so the information is held elsewhere. Retain for 21 years after the decision is made. Where there is no letter or correspondence detailing the reasons for non-acceptance that goes to the organisation that has referred the client. Retain for the period of time appropriate to the patient/specialty.	Destroy under confidential conditions	National Guidance
HR 63	Self discharge books	8	Copy placed in patients record, duplicate kept in self discharge book	Destroy under confidential conditions	Local guidelines
HR 64	Transplant patient records	See notes	Records not otherwise kept or issued to patient records that relates to investigations or storage of specimens relevant to organ transplantation should be kept for 30 years.	Destroy under confidential conditions	National Guidance
HR 65	Urgent Laboratory results book – held by clinical departments	2		Destroy under confidential conditions	Trust addition
HR 66	Video recordings and voice recordings relating to patient care/video records/video-conferencing records related to	See Notes	8 yrs adults subject to the following exceptions or where there is a specific statutory obligation to retain records for	Destroy under confidential conditions or permanently	National Guidance

	patient care/DVD records related to patient care		<p>longer periods</p> <p>Children and young people 25 children (26 if child 17) or 8 yrs after death</p> <p>Mentally disordered persons 20 yrs for mentally disordered persons (MH Act) or 8 yrs after death</p> <p>Maternity 25 yrs</p> <p>Cancer patients Records should be kept 8 years after the conclusion of treatment, especially if surgery was involved. The Royal College of Radiologists has recommended that such records be kept permanently where chemotherapy and/or radiotherapy was given</p>	archive	
HR 67	Ward registers including daily bed returns	2	After the year to which they relate	Likely to have archival value offer to Archivist before destruction	National Guidance
HR 68	Withdrawn referral letters	2 months	Referral letters to clinicians, after receipt patient decides to not proceed or does not contact to make a booking.	Destroy under confidential conditions	Trust addition

			Currently not filed in case notes.		
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RADIOLOGY					
	Record type	Retention period	Notes	Final Action	Comments
R 1	Diagnostic Image Data (for diagnostic imaging undertaken in the private sector under contract to the NHS or private providers treating patients on behalf of the NHS)	Retain for the life of the National diagnostic Imaging Service Contract and then return the data to the NHS after which the retention schedule will apply			National Guidance
R 2	Ultrasound Records (e.g. Vascular, Obstetric)	8 yrs adults 25 children (26 if child 17) 20 yrs for mentally disordered persons (MH Act) 8 yrs after death	Retain for period appropriate to speciality	Destroy under confidential conditions	National Guidance
R 3	Mammography Screening (mammograms and reports) (NHSBSP)	See notes	Normal Packet – 9 years after date of final attendance Screen detected cancers – Indefinitely Interval Cancers – Indefinitely Interesting Cancers – Indefinitely Research Cases – 15 years after date of final attendance Age Trial Cases – 9 years after date of final attendance Deaths – 9 years after date of	Destroy under confidential conditions	National Guidance

			<p>final attendance Where products liability is involved – 11 years NB Retention periods should be calculated from the end of the calendar year following the conclusion of treatment or the last entry in the record.</p>		
R 4	X-ray films (including other image formats for all imaging modalities/ diagnostics)	<p>8 yrs adults (after conclusion of treatment) 25 children (26 if child 17) 20 yrs for mentally disordered persons (MH Act) 8 yrs after death Maternity- 25 years after the birth of the child including stillbirths Clinical Trials – 15 years after completion of treatment Litigation – Records should be reviewed 10 years after the file is closed. Once litigation has been notified (or a formal complaint is received) images</p>	Guidance from the Royal College of Radiologists	Destroy under confidential conditions	National Guidance

		should be stored until 10 years after the file has been closed. Oncology – see Oncology Records			
R 5	X-Ray Referral/Request Cards	8 years providing there is a record in the patient's health record that a referral/request was made for an x-ray	Guidance from the Royal College of Radiologists	Destroy under confidential conditions	National Guidance
R 6	X-ray registers – where they exist in paper format	30		Likely to have archival value offer to Archivist before destruction	National Guidance
R 7	X-ray reports (including reports for all imaging modalities)	See notes	To be considered as permanent part of the patient record and should be retained for the appropriate period of time		National Guidance

PATHOLOGY					
	Record type	Retention period	Notes	Final Action	Comments
P 1	Accreditation documents, records of inspections	10	Or until superseded	Destroy under confidential conditions	National Guidance
P 2	Body release forms	2		Destroy under	National Guidance

				confidential conditions	
P 3	Batch records results	10	Consumer protection act 1987	Destroy under confidential conditions	National Guidance
P 4	Blood Gas results	See Notes	Retain for the period of time appropriate to the patient/speciality, e.g. children's records should be retained as per the retention period for the records of children and young people; mentally disordered persons (within the meaning of the Mental Health Act 1983) 20 years after the last entry in the record or 8 years after the patient's death if patient died while in the care of the organisation		National Guidance
P 5	Bound copies of reports/records if made	30		Destroy under confidential conditions	National Guidance
P 6	Cervical screening slides	10		Destroy under confidential conditions	National Guidance
P 7	Day books and other records of specimens received by a laboratory	2	Calendar years	Destroy under confidential conditions	National Guidance
P 8	Donor records (blood and tissue)	30	Committee on Microbiological safety of blood and tissue for transplantation (MSBT) guidance issued in 1996	Destroy under confidential conditions	National Guidance

P 9	Equipment/ instruments maintenance logs, records of service inspections	Lifetime of equipment		Destroy under confidential conditions	National Guidance
P 10	External quality control records	2		Destroy under confidential conditions	National Guidance
P 11	Forensic medicine records	30	For post mortem records which form part of the coroners report, approval should be sought from the coroner for a copy of the report to be incorporated in the patients notes, which should then be kept in line with the speciality and then reviewed.	Destroy under confidential conditions	National Guidance
P 12	Human tissue (within the meaning of the human tissue act 2004) (See Forensic medicine above)	See notes	For post mortem records which form part of the coroners report, approval should be sought from the coroner for a copy of the report to be incorporated in the patients notes, which should then be kept in line with the speciality and then reviewed. All other records 30 years		National Guidance
P 13	Internal quality control records	10		Destroy under confidential conditions	National Guidance
P 14	Lab file cards or other working records of test results for named patients	2	Calendar years	Destroy under confidential conditions	National Guidance
P 15	Mortuary Registers	10		Destroy under	National Guidance

				confidential conditions	
P 16	Near patient test data – result in patient record log	Lifetime of instrument		Destroy under confidential conditions	National Guidance
P 17	Pathological archive museum catalogues	30	Subject to consent	Destroy under confidential conditions	National Guidance
P 18	Photographic records	30	Where images present the primary source of information for the diagnostic process	Destroy under confidential conditions	National Guidance
P 19	Post mortem registers	30		Likely to have archival value offer to Archivist before destruction	National Guidance
P 20	Procurement, use, modification and supply records relevant to production of products (diagnostics) or equipment	11		Destroy under confidential conditions	National Guidance
P 21	Records of telephoned reports	2	Calendar years	Destroy under confidential conditions	National Guidance
P 22	Records relating to investigation or storage of specimens relevant to organ transplantation, semen or ova	30	If not held in health record	Destroy under confidential conditions	National Guidance
P 23	Reports, copies Post mortem reports	6 months 8	Held in patient record for 8 years after the patients death	Destroy under confidential conditions	National Guidance
P 24	Request forms that are not a unique record	1 week	After report received by requestor	Destroy under confidential conditions	National Guidance

P 25	Request forms that contain clinical information not readily available in the health record	30		Destroy under confidential conditions	National Guidance
P 26	Standard operating procedures (current and old)	30		Destroy under confidential conditions	National Guidance
	Specimens and preparations				
P 27	Blocks for electron microscopy	30		Destroy under confidential conditions	National Guidance
P 28	Electrophoretic strips and immunofixation plates	5	Unless digital images taken in which case 2 years and stored as a photographic record	Destroy under confidential conditions	National Guidance
P 29	Foetal serum	30		Destroy under confidential conditions	National Guidance
P 30	Frozen tissue for immediate histological assessment	10	Stained microscope slides Residual tissue kept as a fixed specimen once frozen section complete	Destroy under confidential conditions	National Guidance
P 31	Frozen tissue or cells for histochemical or molecular genetic analysis	10		Destroy under confidential conditions	National Guidance
P 32	Grids for electron microscopy	10		Destroy under confidential conditions	National Guidance
P 33	Human DNA	See notes	4 weeks after final report for diagnostic specimens. 30 years for family studies for genetic disorders (consent required)	Destroy under confidential conditions	National Guidance
P 34	Human tissue and/or cells for therapeutic use		The HTA requires that all tissues and cells procured, processed, stored and/or	Destroy under confidential conditions	Human Tissue Authority requirement

	Raw data	10	distributed under an Human Tissue Authority (HTA) licence can be traced from donor to recipient and vice versa. This traceability shall also apply to all relevant raw data relating to products and materials coming in to contact with such tissues and cells		
	Traceability data	30 (from use, expiry or disposal)			
P 35	Microbiological cultures	See notes	24-28 days after final report of a positive culture issued. 7 days for certain specified cultures - see RCPATH document	Destroy under confidential conditions	National Guidance
P 36	Museum specimens (teaching collections) Stained slide	Permanently	Consent of relative is required if it is tissue obtained through post mortem Depends on the purpose of the slide – see RCPATH document for further details	Destroy under confidential conditions	National Guidance
P 37	Newborn blood spot screening cards Bodily fluids/ aspirates/ swabs	5	Parents should be alerted to the possibility of contact from researchers after this period and a record kept of their consent to contact response. 48 hours after the final report issued by lab	Destroy under confidential conditions	National Guidance
P 38	Paraffin blocks	30	Appraise archival value	Destroy under confidential conditions	National Guidance
P 39	Records relating to donor or recipient sera	11	Post transplant	Destroy under confidential	National Guidance

				conditions	
P 40	Serum following needle stick injury or hazardous exposure	2		Destroy under confidential conditions	National Guidance
P 41	Serum from first pregnancy booking visit	1		Destroy under confidential conditions	National Guidance
P 42	Wet tissue (representative aliquot or whole tissue or organ)	See notes	4 weeks after final report for surgical specimens	Destroy under confidential conditions	National Guidance
P 43	Whole blood samples, for full blood count	24hrs		Destroy under confidential conditions	National Guidance
	Transfusion laboratories				
P 44	Annual reports	15		Likely to have archival value offer to Archivist before destruction	National Guidance Local decision to offer to archivist before destruction.
P 45	Autopsy reports, specimens, archive material and other where deceased has been subject if a coroners autopsy	See notes	These are coroner records – copies may only be lodged on the health record with the coroners permission	Destroy under confidential conditions	National Guidance
P 46	Blood bank register, blood component audit trail and fates	30	To allow full traceability of all blood products used	Likely to have archival value offer to Archivist before destruction	National Guidance Local decision to offer to archivist before destruction.
P 47	Blood for grouping antibody screening and saving and or cross matching	1 week at 4°C		Destroy under confidential conditions	National Guidance
P 48	Forensic material – criminal cases	Permanently	Not part of health record	Destroy under confidential	National Guidance

				conditions	
P 49	Refrigeration and freezer charts	11		Destroy under confidential conditions	National Guidance
P 50	Request forms for grouping, antibody screening and cross matching	1 month		Destroy under confidential conditions	National Guidance
P 51	Results of grouping, antibody screening and other blood transfusion-related tests	30	To allow full traceability of all blood products used	Destroy under confidential conditions	National Guidance
P 52	Separated serum/ plasma stored for transfusion purposes	Up to 6 months		Destroy under confidential conditions	National Guidance
P 53	Storage of material following analysis of nucleic acids	30	See RCPATH document for further guidance	Destroy under confidential conditions	National Guidance
P 54	Worksheets	30	To allow full traceability of all blood products used	Destroy under confidential conditions	National Guidance

PHARMACY RECORDS					
	Record type	Retention period	Notes	Final Action	Comments
Prescriptions					
PH 1	Prescriptions - Chemotherapy	2	After last treatment	Destroy under confidential conditions	National Guidance
PH 2	Clinical drug trials	5	After completion of trial	Destroy under confidential conditions	National Guidance and Trust Amendment
PH 3	FP10, TTOs, outpatients, private	2		Destroy under confidential conditions	National Guidance
PH 4	Parenteral nutrition	2		Destroy under	National Guidance

				confidential conditions	
PH 5	Unlicensed medicines dispensing records	5	(Requirement of MHRA Guidance Note No. 14. Permanent record of batch details kept)	Destroy under confidential conditions	National Guidance
PH 6	Raw material request and control forms	See Notes	At least 5 years (Part of batch record, so product liability issues apply)	Destroy under confidential conditions	National Guidance
PH 7	Resuscitation box	1	After the expiry of the longest dated item	Destroy under confidential conditions	National Guidance
PH 8	Chemotherapy, aseptic worksheets, parenteral nutrition, production batch records	11	Products liability extends this to 11 years after expiry	Destroy under confidential conditions	National Guidance
Quality assurance					
PH 9	Environmental monitoring results	1	After expiry date of products As electronic record – in perpetuity	Destroy under confidential conditions	National Guidance
PH 10	Equipment validation	Lifetime of equipment		Destroy under confidential conditions	National Guidance
PH 11	QC documentation, certificates of analysis	See notes	5 years or 1 year after expiry of batch whichever is longer	Destroy under confidential conditions	National Guidance
PH 12	Refrigerator temperature	1	(Refrigerator records to be retained for the life of any product stored therein, particularly vaccines)	Destroy under confidential conditions	National Guidance
PH 13	Standard operating procedures	15	After superseded by revised version As electronic record – in perpetuity	Destroy under confidential conditions	National Guidance

Orders					
PH 14	Invoices	6		Destroy under confidential conditions	National Guidance
PH 15	Order and delivery notes, requisition sheets, old order books	See notes	Current financial year plus one	Destroy under confidential conditions	National Guidance
PH 16	Picking tickets/ delivery notes	3 months		Destroy under confidential conditions	National Guidance
PH 17	Ward pharmacy requests	1		Destroy under confidential conditions	National Guidance
Controlled drugs					
PH 18	Controlled drug destruction records (pharmacy and ward based)	7	Future regulations may increase the period of time for the storage of records	Destroy under confidential conditions	National Guidance
PH 19	Controlled drug prescriptions (TTOs/OP)	2	Future regulations may increase the period of time for the storage of records	Destroy under confidential conditions	National Guidance
PH 20	Controlled drug order books, ward orders and requisitions	2	Future regulations may increase the period of time for the storage of records	Destroy under confidential conditions	National Guidance
PH 21	Controlled drug registers and CDRB's (pharmacy and ward based)	2	Future regulations may increase the period of time for the storage of records	Destroy under confidential conditions	National Guidance
PH 22	Extemporaneous preparation worksheets	13	Future regulations may increase the period of time for the storage of records	Destroy under confidential conditions	National Guidance
PH 23	Aseptic worksheets (adults)	13	Future regulations may increase the period of time for the storage of records	Destroy under confidential conditions	National Guidance
PH	Aseptic worksheets (paediatrics)	26	Future regulations may	Destroy under	National Guidance

24			increase the period of time for the storage of records	confidential conditions	
PH 25	External orders and delivery notes	2	Future regulations may increase the period of time for the storage of records	Destroy under confidential conditions	National Guidance
PH 26	Clinical trials	5 years minimum (may be longer for some trials)	Future regulations may increase the period of time for the storage of records	Destroy under confidential conditions	National Guidance

RESEARCH AND DEVELOPMENT					
	Record type	Retention period	Notes	Final Action	Comments
RD 1	Trial Master File (responsibility of Sponsor and Chief Investigator to ensure that documents are retained)	5	After the conclusion of the trial	Destroy under confidential conditions	National Guidance
RD 2	Trial Subject's Medical Files (Sponsor and Chief Investigator's responsibility to ensure retained)	5	After the conclusion of the trial (There should be a flag or divider in health records for documents pertaining to research indicating that the patient has been recruited to a clinical trial or other research)	Destroy under confidential conditions	National Guidance
RD 3	Marketing authorisation (holders must arrange for essential clinical trial documents (including case report forms) other than subjects medical files, to be kept by the owner of the data)	See notes	15 yrs after completion or discontinuation of the trial or 2 yrs after the granting of the last marketing authorisation in the European Community and when there are no pending or contemplated marketing applications in the European Community or	Destroy under confidential conditions	National Guidance

			2 years after formal discontinuation of clinical development of the investigational product		
RD 4	Trial subject's medical files	See notes	Retain in accordance with applicable legislation and in accordance with the maximum period of time permitted by the hospital, institution or private practice	Destroy under confidential conditions	National Guidance
RD 5	All other documentation pertaining to the trial (retention of documentation is the responsibility of the sponsor or other owner of the data)	See notes	Retain as long as the product is authorised	Destroy under confidential conditions	National Guidance
RD 6	Final Report (responsibility of the sponsor or subsequent owner's to retain documents)	5	After the medicinal product is no longer authorised	Destroy under confidential conditions	National Guidance
RD 7	Data collected in the course of the research	See notes	Retain for an appropriate period, to allow further analysis by the original or other research teams subject to consent, and to support monitoring by regulatory and other authorities	Destroy under confidential conditions	National Guidance
RD 8	Research & Development (organisation) i.e. all the organisation's records associated with research and development and not individual trial records or information on patients	30		Likely to have Archival value, offer to archivist before destruction	National Guidance

Corporate Records Management

FINANCE					
	Record type	Retention period	Notes	Final Action	Comments
F 1	Accounts – Annual (Final – one set only)	30		Likely to have archival value offer to Archivist before destruction	National Guidance
F 2	Accounts – Cost	3	Following the end of the financial year to which they relate	Destroy under confidential conditions	National Guidance
F 3	Accounts - Working papers	3	From completion of audit	Destroy under confidential conditions	National Guidance
F 4	Accounts - Minor records (passbooks, paying-in slips, cheque counterfoils, cancelled/discharged cheques <i>(other than cheques bearing printed receipts – see Receipts)</i> , accounts of petty cash expenditure, travelling and subsistence accounts, minor vouchers, duplicate receipt books, income records, laundry lists and receipts).	2	From completion of the audit	Destroy under confidential conditions	National Guidance
F 5	Advice notes (payment) Remittance advice notes that are attached to weekly creditor payment runs – breakdown of all invoices that make up the	1.5		Destroy under confidential conditions	National Guidance

	payment.				
F 6	Audit records (internal and external) – original documents	2	From completion of the audit	Destroy under confidential conditions	National Guidance
F 7	Audit reports (including management letters, VFM reports and system, final accounts memorandum)	2	After formal clearance by Statutory Auditor	Destroy under confidential conditions	National Guidance
F 8	Bank automated clearing system (BACS records)	6	After year end	Destroy under confidential conditions	National Guidance
F 9	Bank statements	2	From completion of the audit	Destroy under confidential conditions	National Guidance
F 10	Benefactions (records of) – gifts/ endowment funds	5	After the end of the financial year in which the Trust monies became finally spent or the gift in kind is accepted. In cases where the Benefaction Endowment Trust fund/ capital interest remains permanent records should be permanently retained by the organisation.	Likely to have archival value offer to Archivist before destruction	National Guidance
F 11	Bills, receipts and cleared cheques	6		Destroy under confidential conditions	National Guidance
F 12	Budgets (including working papers, reports, virements and journals)	2	From completion of the audit	Destroy under confidential conditions	National Guidance
F 13	Capital charges data	2	From completion of the audit	Destroy under confidential conditions	National Guidance
F 14	Capital paid invoices	6	After the end of the financial	Destroy under	National Guidance

			year to which they relate. The Limitation Act, 1980	confidential conditions	
F 15	Cash books	6	Following the end of the financial year to which they relate The Limitation Act, 1980	Destroy under confidential conditions	National Guidance
F 16	Cash sheets	6	Following the end of the financial year to which they relate The Limitation Act, 1980	Destroy under confidential conditions	National Guidance
F 17	Contractual arrangements with hospitals or other bodies outside the NHS, including papers relating to financial settlements made under the contract (e.g. waiting list initiative, private finance initiative)	6	After the end of the financial year to which they relate	Destroy under confidential conditions	National Guidance
F 18	Creditor payments	3	Following the end of the financial year to which they relate	Destroy under confidential conditions	National Guidance
F 19	Debtors records – cleared	2	From completion of audit	Destroy under confidential conditions	National Guidance
F 20	Debtors records – un-cleared	6	From completion of audit	Destroy under confidential conditions	National Guidance
F21	Demand notes	6	Following the end of the financial year to which they relate	Destroy under confidential conditions	National Guidance
F 22	Estimates – including supporting calculations and statistics	3	Following the end of the financial year to which they relate	Destroy under confidential conditions	National Guidance

F 23	Excess fares	2	Following the end of the financial year to which they relate	Destroy under confidential conditions	National Guidance
F 24	Expense claims – including travel & subsistence claims and claims and authorisations	5	Following the end of the financial year to which they relate	Destroy under confidential conditions	National Guidance
F 25	Fraud case files/ investigations	6		Destroy under confidential conditions	National Guidance
F 26	Fraud national proactive exercises	3		Destroy under confidential conditions	National Guidance
F 27	Funding Data	6	Following the end of the financial year to which they relate	Destroy under confidential conditions	National Guidance
F 28	General medical services payments	6	After the year end	Destroy under confidential conditions	National Guidance
F 29	Invoices	6	Following the end of the financial year to which they relate The Limitation Act, 1980	Destroy under confidential conditions	National Guidance
F 30	Invoices – copies held by individual departments	2		Destroy under confidential conditions	Local Guidance
F 31	Ledgers Including cash books, ledgers, income & expenditure journals, nominal rolls, non exchequer funds records (patient monies)	6	Following the end of the financial year to which they relate The Limitation Act, 1980	Destroy under confidential conditions	National Guidance
F 32	Non-exchequer funds records (i.e. funding received by the organisation that does not	30	Although technically exempt from the Public Records Acts, it would be appropriate for	Likely to have archival value offer to Archivist	National Guidance Local decision to offer to archivist before

	directly relate to patient care e.g. charitable funds)		authorities to treat these records as if they were not so exempt. Company charities are required by company law to keep their records and accounting records for at least three years but the Charity Commission recommends that they be kept for at least 6 years. The majority of non-company	before destruction	destruction.
F 33	Patient Monies (i.e. smaller sums of donated money)	6		Destroy under confidential conditions	National Guidance
F 34	Payments	6	After year end	Destroy under confidential conditions	National Guidance
F 35	Patient travel claims	6			Trust addition
F 36	Payroll – i.e. list of staff in the pay of the organisation	6	After termination of employment For superannuation purposes authorities may wish to retain such records until the subject reaches benefit age	Destroy under confidential conditions	National Guidance
F 37	PAYE records	6	After termination of employment	Destroy under confidential conditions	National Guidance
F 38	Positive predictive value performance indicators	3		Destroy under confidential conditions	National Guidance
F 39	Private Finance Initiative records	30		Likely to have archival value offer to Archivist	National Guidance

				before destruction	
F 40	Receipts	6	Following the end of the financial year to which they relate The Limitation Act, 1980	Destroy under confidential conditions	National Guidance
F 41	Superannuation forms – SD55 (ADP) and SD55J (copies)	10	Originals are sent to NHS Pensions Agency	Destroy under confidential conditions	Trust addition
F 42	Superannuation accounts	10		Destroy under confidential conditions	National Guidance
F 43	Superannuation registers	10		Destroy under confidential conditions	National Guidance
F 44	Tax forms	6		Destroy under confidential conditions	National Guidance
F 45	Trust documents without permanent relevance/ not otherwise mentioned	6		Destroy under confidential conditions	National Guidance
F 46	VAT records	6	After the end of the financial year to which they relate	Destroy under confidential conditions	National Guidance
F 47	Wages /Salary records	10	After termination of employment For superannuation purposes authorities may wish to retain such records until the subject reaches benefit age	Destroy under confidential conditions	National Guidance

PROCUREMENT					
	Record type	Retention period	Notes	Final Action	Comments

PR 1	Approved suppliers lists	11	Consumer Protection Act 1987	Destroy under confidential conditions	National Guidance
PR 2	Approval files (contracts)	6	After end of the year the contract expired	Destroy under confidential conditions	National Guidance
PR 3	Contracts – financial - Approval files - Approved suppliers lists	15 11		Destroy under confidential conditions	National Guidance
PR 4	Contracts – non-sealed (property) on termination	6	After termination of the contract The Limitation Act, 1980	Destroy under confidential conditions	National Guidance
PR 5	Contracts – non sealed (other) on termination	6	After the termination of the contract The Limitation Act, 1980	Destroy under confidential conditions	National Guidance
PR 6	Contracts – sealed (and associated records)	15	Contracts under seal and associated records should be kept for a minimum of 15 years after which they should be reviewed.	Review Likely to have archival interest, offer to Archivist	National Guidance
PR 7	Delivery notes	2	Following the end of the financial year to which they relate	Destroy under confidential conditions	National Guidance
PR 8	Products – liability	11	Consumer Protection Act 1987	Destroy under confidential conditions	National Guidance
PR 9	Requisitions including non stock order books and virement forms	1.5		Destroy under confidential conditions	National Guidance
PR 10	Stock control reports	1.5		Destroy under confidential conditions	National Guidance

PR 11	Stores records – major (stores ledgers etc.)	6		Destroy under confidential conditions	National Guidance
PR 12	Stores records – minor (requisitions, issue notes, transfer vouchers, goods received books etc.)	1.5		Destroy under confidential conditions	National Guidance
PR 13	Supplies records – minor (eg. invitation to tender and inadmissible tenders, routine papers relating to catering and demands for furniture, equipment, stationery and other supplies)	1.5		Destroy under confidential conditions	National Guidance
PR 14	Tenders (successful)	Tender period plus 6 year limitation period	The Limitation Act 1980	Destroy under confidential conditions	National Guidance
PR 15	Tenders (unsuccessful)	6	The Limitation Act, 1980	Destroy under confidential conditions	National Guidance

ADMINISTRATIVE					
	Record type	Retention period	Notes	Final Action	Comments
A 1	Adoption records (i.e. administrative records relating the adoption process)	See notes	75 th anniversary of the date of birth of the child to whom it relates or, if the child dies before attaining the age of 18, 15 years beginning with the date of the 18 th birthday	Destroy under confidential conditions	National Guidance
A 2	Advance letters – Department of health circulars and memos	6		Destroy under confidential conditions	National Guidance
A 3	Annual / Corporate reports	3		Likely to have	National Guidance

				archival value, offer to archivist before destruction	
A 4	Audit Records (e.g. Organisational Audits, Records Audits, System Audits) – Internal & External in any format (paper, electronic etc)	2	From the date of completion of the audit	Destroy under confidential conditions	National Guidance
A 5	Business plans, cases and strategies, including local delivery plans	Directorate final approved 20 years Departmental 5 years		Destroy under confidential conditions	National Guidance and Trust addition
A 6	Business Continuity Plan	Life time of information (Previous versions 3 years)			Trust addition
A 7	Chaplaincy records – non patient identifiable	2		Likely to have archival value, offer to archivist before destruction	National Guidance
A 8	Contractor Application (Doctors, Dentists, Opticians & Pharmacists)	6 years after end of contract for approvals 6 years for non-approvals		Destroy under confidential conditions	National Guidance
A 9	Contractor Records (e.g. Opticians, Ophthalmic Medical Practitioners, Pharmacists, Pharmacy Premises, General optical Council)	7 years		Destroy under confidential conditions	National Guidance

	amendments to the register. Previous Pharmacy rotas and supporting information (prior to 2005 - new regulations). Copies of previous Pharmacy and Ophthalmic local lists. Correspondence relating to pharmacies supplying oxygen and visiting Residential/Nursing homes (prior to new regulations)				
A 10	Commissioning decisions - Appeal documentation - Decision documentation	6 yrs from date of appeal 6 years from date of decision		Destroy under confidential conditions	National Guidance
A 11	Communication For e.g. articles, posters, photographs, published papers, books	Life time of information			Trust addition – request from archivist
A 12	Communication – old versions For e.g. articles, posters, photographs, published papers, books	<i>To be decided by local departments on local retention and destruction schedules</i>		Likely to have archival value, offer to archivist before destruction	Trust addition – request from archivist
A 13	Complaints - Correspondence, investigation and outcomes - Returns made to DH	8 yrs from completion of action Files closed annually and kept for 6 yrs following closure NB Current policy on the handling of	See also litigation dossiers	Destroy under confidential conditions	National Guidance

		complaints is under review and further guidance will be issued in due course			
A 14	Complaint files – copies retained by department	2		Destroy under confidential conditions	Trust addition
A 15	CNST evidence and records	1 (plus current year evidence)	Retain one years evidence for reference plus the current year		Trust addition
A 16	Diaries (office)	1	From completion of year Electronic diaries to be destroyed at 2 years e.g. January 2005 to be destroyed January 2007	Destroy under confidential conditions	National Guidance and Trust addition
A 17	E mails	See notes	Retain emails for the maximum of 2 years taking into account the following guidance: <ul style="list-style-type: none"> Where emails relate to another record with a longer retention period e.g. Contracts, emails should be retained for the longest period. Ensure that these emails are either saved in an electronic folder on the network or printed off and held as a paper copy, do not keep in your email account. It is recommended good practice to destroy general 		Trust addition

			<p>emails as soon as possible for e.g. general information or meetings and not to retain for 2 years.</p> <ul style="list-style-type: none"> All patient identifiable emails should be printed and filed in the medical records as soon as possible. Delete email once the paper copy has been filed. 		
A 18	<p>Freedom of Information Requests</p> <ul style="list-style-type: none"> - Full disclosure - Information redacted or request not disclosed 	<p>3 10</p>		Destroy under confidential conditions	National Guidance
A 19	<p>General correspondence – e.g. advertising matter, covering letters, reminders, letters making appointments, anonymous or unintelligible letters, 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 be of value on settlement of the matter involved</p>	<p>2</p>	<p>After the settlement of the matter to which they relate</p>	Destroy under confidential conditions	National Guidance
A 20	<p>History of Organisation or predecessors – its organisation and procedures For e.g. plans, establishment</p>	<p>30</p>	<p>Offer to archivist before destruction</p>	<p>Likely to have archival value, offer to archivist before</p>	National Guidance

	order, publications, memorabilia, photographs. Documents relating to an overview of the Trust as a whole.			destruction	
A 21	Hospital Services i.e. services that the Trust provides e.g. catering, hotel services	10		Destroy under confidential conditions	National Guidance
A 22	Indices (Records Management)	30	Registry lists of public records marked for permanent preservation, or containing the record of management of public records. They should in these cases be retained permanently. File lists and document lists, where public records are not covered.	Destroy under confidential conditions	National Guidance
A 23	Information Governance Evidence and records e.g. evidence folders completed by IG department leads every year	1 (plus current year evidence)	Retain one years evidence for reference plus the current year	Destroy under confidential conditions	Trust addition
A 24	Litigation dossiers (complaints including accident/ incident reports) Records/ documents relating to any form of litigation	10	Where a legal action has been commenced, keep as advised by legal representatives	Destroy under confidential conditions	National Guidance
A 25	Maps	Lifetime of the organisation		Likely to have Archival value offer to Archivist before destruction	National Guidance
A 26	Meeting papers – Agenda's and supporting information for all	30	This refers to Papers of Committees, sub-committees,	Likely to have Archival value	National Guidance

	Trust major committee and sub committees Addenbrooke's Executive Board Audit Committee Board of Directors Board of Governors Quality and Risk Committee Finance Operations and Performance Committee Governance/Director Working groups on Governance and Assurance, Membership and PPI and Forward Planning		predecessors (master copies) May have archival value offer to Archivist	offer to Archivist before destruction	
A 27	Minutes of the Trust major committees and sub-committees signed (master copies) See above list	30	Master Copies. May have archival value offer to Archivist	Likely to have Archival value offer to Archivist before destruction	National Guidance
A 28	Minutes of the Trust major committees and sub-committees – reference copies See above list	2	Reference copies of minutes and meeting papers should not be retained unless absolutely necessary, where there is a business need copies should be destroyed after 2 years	Destroy under confidential conditions	National Guidance
A 29	For all other Meeting Papers not listed above – Agendas and supporting papers	2	Master copies should be retained for 2 years, for all other copies see below. The retention period for meeting papers can be extended if a local decision is made to retain the information longer, this should be recorded on the	Review before destruction	National Guidance

			departments local retention and destruction schedule		
A 30	For all other Minutes not listed above	2	Master copies should be retained for 2 years, for all other copies see below. The retention period for meeting papers can be extended if a local decision is made to retain the information longer, this should be recorded on the departments local retention and destruction schedule	Review before destruction	National Guidance
A 31	For all other meetings – reference copies of the minutes	1	Reference copies of minutes and meeting papers should not be retained unless absolutely necessary, where there is a business need copies should be destroyed after one year	Destroy under confidential conditions	Trust addition
A 32	Mental Health Administration Records	5	There is no obligation to treat this type of mental health record as being part of a patient's health record. There may, however, be exceptions, such as where they are required to be kept as evidence in actual or expected litigation or where they are needed by a healthcare professional in order to provide healthcare	Destroy under confidential conditions	National Guidance
A 33	MP Enquiries/ Parliamentary Enquiries / Assembly enquiries	10		Destroy under confidential conditions	National Guidance
A 34	Mortgage documents	6	After repayment	Likely to have	National Guidance

	(acquisition, transfer and disposal)			Archival value, offer to archivist before destruction	
A 35	Policies, procedures, guidelines, work processes, flow charts	10	After the life of the system (or superseded) to which the policies or procedures refer	Likely to have Archival value offer to Archivist before destruction	National Guidance
A 36	Press cuttings	Local ones 1 All others 1 year	Department to retain for one year before transferring to the Archivist	Offer to archivist Destroy	National Guidance
A 37	Press Releases	7			National Guidance
A 38	Project files (over £100000) on termination – including abandoned or deferred projects	6	For Building and engineering projects see the Estates and Facilities section.	Likely to have Archival value, offer to archivist before destruction	National Guidance
A 39	Project files (less than £100000) on termination	2	For Building and engineering projects see the Estates and Facilities section.	Destroy under confidential conditions	National Guidance
A 40	Project team files – summary retained	3		Destroy under confidential conditions	National Guidance
A 41	Patient Advice and Liaison Service (PALS) records	10	After closure of the case	Destroy under confidential conditions	National Guidance
A 42	Patient information leaflets	6	After the leaflet has been superseded		National Guidance
A 43	Patient Surveys (re access to services etc)	2		Destroy under confidential	National Guidance

				conditions	
A 44	Patient valuable records	6	From the end of the financial year in which the property was disposed of or after the register was closed	Destroy under confidential conditions	National Guidance
A 45	Phone Message Book	2	Any clinical information should be transferred to the patient health record	Destroy under confidential conditions	National Guidance
A 46	Police Statements (made in the context of Accident and Emergency episodes. Statements are requested by the Police to the A&E staff in relation to alleged injuries of or by patients coming through A&E)	10	Congruent retention period as Incident Forms)	Destroy under confidential conditions	National Guidance
A 47	Public Consultations e.g. about future provision of services	5		Destroy under confidential conditions	National Guidance
A 48	Quality assurance records (e.g. Healthcare Commission, Audit Commission, Kings Fund Organisational Audit, Investors in People)	12		Destroy under confidential conditions	National Guidance
A 49	Receipt for registered and recorded delivery mail	2	Following the end of the financial year to which they relate	Destroy under confidential conditions	National Guidance
A 50	Reports (major) For e.g. 2020 vision, Reports covering future plans	30		Likely to have Archival value, offer to archivist before destruction	National Guidance
A 51	Requests for access to records, other than FOI or subject access	6	After last action	Destroy under confidential	National Guidance

	requests			conditions	
A 52	Record of custody and transfer of keys	2	After the last entry	Destroy under confidential conditions	National Guidance
A 53	Records of the destruction of records or transfer to archive – to include Trust and Local Retention and Destruction Schedules	30		Likely to have Archival value, offer to archivist before destruction	National Guidance
A 54	Research Ethics Committee records	3	From the date of the decision	Likely to have Archival value, offer to archivist before destruction	National Guidance
A 55	Statistics (Korner returns, statistical returns to DH) Patient Activity Data	3	From date of submission to DH	Destroy under confidential conditions	National Guidance
A 56	Subject access request (DPA and AHR) – records of requests	3	After last action	Destroy under confidential conditions	National Guidance
A 57	Surgical appliances – forms – AP1, 2, 3 and 4	2	From completion of the audit	Destroy under confidential conditions	National Guidance
A 58	Specifications (e.g. equipment, services)	6	The Limitation Act, 1980	Destroy under confidential conditions	National Guidance
A 59	Time sheets (relating to a Group or Department e.g. Ward where the timesheets are kept as a tool to manage resources, staffing levels)	0.5		Destroy under confidential conditions	National Guidance
A 60	Training materials – presentations, handouts, quiz's	See notes	Lifetime of material.	Destroy	Trust addition

			Old versions – local decision as to how long to retain records		
A 61	Website pages <ul style="list-style-type: none"> - Blue pages - Addenbrookes online - Connect 	30 30	For permanent preservation, offer to Archivist For permanent preservation, offer to Archivist		Trust addition

ESTATES AND FACILITIES					
	Record type	Retention period	Notes	Final Action	Comments
E 1	Buildings and engineering works, inclusive of major projects which come to fruition – final accounts, surveys, bills of quantities, all formal contract documents e.g. executed agreements, conditions of contract, specifications and documents on the appointment and conditions of engagement of private buildings and engineering consultants.	30		Likely to have archival value offer to Archivist before destruction	National Guidance
E 2	Buildings and engineering works, inclusive of major projects abandoned or deferred – formal contract documents e.g. executed agreements, conditions of contract, specifications and documents on the appointment and conditions of engagement of private buildings and engineering consultants.	10		Likely to have archival value offer to Archivist before destruction	Local guidance from Estates – changed from National guidance of 30 years to 10 years
E 3	Town and Country Planning documents	30 – possible lifetime retention		Review retention at 30 years –	Local guidance from Estates – change from

				may be relevant to retain documents for lifetime	national guidance
E 4	Buildings – papers relating to occupation (but not Health & Safety information)	3	After occupation ceases. Construction Design Management Regulations 1994.	Destroy under confidential conditions	National Guidance
E 5	Catering forms	6		Destroy under confidential conditions	National Guidance
E 6	CCTV Images	31 days	Information commissioners code of conduct	Erase permanently	National Guidance
E 7	Drawings – plans and buildings (architect signed, not copies)	Lifetime	Of the building to which they relate	Likely to have archival value offer to Archivist before destruction	National Guidance
E 8	Deeds of Title	See notes	Retain while the organisation has ownership of the building unless a land registry certificate has been issued, in which case the deeds should be placed in an archive. If there is no land registry certificate, the deeds should pass on with the sale of the building	Likely to have archival value offer to Archivist before destruction	National Guidance
E 9	Engineering works – plans and building records	Lifetime	Of the building to which they relate	Likely to have archival value offer to Archivist before destruction	National Guidance
E 10	Equipment – records of non fixed equipment, including	11	Consumer Protection Act 1987	Destroy under confidential	National Guidance

	specification, test records, maintenance records and logs	If the records relate to vehicles (fleet vehicles) and where the vehicle no longer exists, providing there is a record that it was scrapped, the record can be destroyed		conditions	
E 11	Inspection reports (e.g. boilers/lifts etc.)	Lifetime	Of the installation. If there is any measurable risk of a liability in respect of installations beyond their operational lives, the records should be retained indefinitely.	Review	National Guidance
E 12	Inventories of furniture, medical and surgical equipment not held on store charge having a minimum life of 5 years	See notes	Keep until next inventory	Likely to have archival value offer to Archivist before destruction	National Guidance
E 13	Inventories of plant and permanent or fixed equipment	5	After date of inventory	Likely to have archival value offer to Archivist before destruction	National Guidance
E14	Invoices (utility)	6		Destroy under confidential conditions	Trust Addition
E 15	Land surveys/registers	30		Likely to have archival value offer to Archivist before	National Guidance

				destruction	
E 16	Laundry lists and receipts	2	From completion of Audit	Destroy under confidential conditions	National Guidance
E 17	Leases – the grant of leases, licences & other rights over property	Period of the lease plus 12 years	Limitations Act 1980	Destroy under confidential conditions	National Guidance
E 18	Manuals (operating)	Lifetime	Normally retain for the lifetime of the equipment.	Review if any issues are outstanding e.g. HSE	National Guidance
E 19	Maintenance contracts - routine	6	From the end of the contract	Destroy under confidential conditions	National Guidance
E 20	Plans – building (as built)	Lifetime of the building		Likely to have archival value offer to Archivist before destruction	National Guidance
E 21	Plans – building (detailed)	Lifetime of the building		Likely to have archival value offer to Archivist before destruction	National Guidance
E 22	Plans – engineering	Lifetime of the building		Likely to have archival value offer to Archivist before destruction	National Guidance
E 23	Photographs of buildings and work in progress	30		Likely to have archival value offer to Archivist before	National Guidance

				destruction	
E 24	Property acquisition dossiers	30		Likely to have archival value offer to Archivist before destruction	National Guidance
E 25	Property disposal dossiers	30		Likely to have archival value offer to Archivist before destruction	National Guidance
E 26	Radioactive waste	30	Radioactive substances act 1993	Likely to have archival value offer to Archivist before destruction	National Guidance
E 27	Structure plans	Lifetime of building		Likely to have archival value offer to Archivist before destruction	National Guidance
E 28	Surveys – building and engineering works	Lifetime of building or installation		Likely to have archival value offer to Archivist before destruction	National Guidance
E 29	Site files	Lifetime of site		Likely to have archival value offer to Archivist before destruction	National Guidance
E 30	Transport (staff pool car documentation)	3	Unless litigation ensues	Destroy under confidential	National Guidance

				conditions	
E 31	Staff car parking permits	3 years		Destroy under confidential conditions	National Guidance

RISK MANAGEMENT AND GOVERNANCE					
	Record type	Retention period	Notes	Final Action	Comments
R 1	Accident Register (Reporting of Injuries, Diseases and Dangerous Occurrences register)- see also incident forms accident and incident forms	10	Reporting of injuries, diseases and dangerous occurrences regulations reg. 7, Social Security (Claims & Payment) Regulations, reg. 25	Destroy under confidential conditions	National Guidance
R 2	Exposure monitoring records	5	From the date the record was made. For staff records – see occupational health section. Control of substances hazardous to Health Regulations 2002	Destroy under confidential conditions	National Guidance
R 3	Health and safety documentation – inspections, risk assessments	3		Destroy under confidential conditions	National Guidance
R 4	Incident forms – copies retained in department	2		Destroy under confidential conditions	Trust addition
R 5	Medical device alerts	See notes	Retain until updated or withdrawn. Check MHRA website. www.mhra.gov.uk	Destroy under confidential conditions	National Guidance
R6	Serious incident files	30		Likely to have archival value offer to Archivist before destruction	National Guidance

HR					
	Record type	Retention period	Notes	Final Action	Comments
	NB Both medical staff records and agency locum staff records should be treated as personnel records and retained accordingly				
S 1	Consultants: records relating to the recruitment of	5	The NHS (Appointment of Consultants) regulations, good practice guidelines Page 11, Para 5.3	Destroy under confidential conditions	National Guidance
S 2	CVs for non-executive directors (successful)	5	Following term of office	Destroy under confidential conditions	National Guidance
S 3	CVs for non-executive directors (unsuccessful)	2	Following completion of selection process	Destroy under confidential conditions	National Guidance
S 4	Duty rosters i.e. organisation or departmental rosters not the ones held on the individual's records	4 years after the year to which they relate		Destroy under confidential conditions	National Guidance
S 5	Flexi Working Hours – Personal records of hours actually worked	0.5		Destroy under confidential conditions	National Guidance
S 6	Industrial relations (not routine staff matters) including industrial tribunals	10		Destroy under confidential conditions	National Guidance
S 7	Job advertisements	1		Destroy	National Guidance
S 8	Job applications - successful	3	Following termination of employment	Destroy under confidential conditions	National Guidance
S 9	Job applications - unsuccessful	1		Destroy under	National Guidance

				confidential conditions	
S 10	Job descriptions/ Person Specifications	3		Destroy under confidential conditions	National Guidance
S 11	Leavers dossiers	<p>6 years after individual has left.</p> <p>Summary to be retained until individual's 70th birthday or until 6 years after cessation of employment if aged over 70 years at the time. The summary should contain everything except attendance books, annual leave records, duty rosters, clock cards, timesheets, study leave applications, training plans</p>	<p>The 6 year retention period is to take into account ET claims ,or EL claims that may arise after the employee leaves the NHS employment, requests for information from the NHS pension agency etc. Claims of this nature can include periods of up to 6 years or more prior to the claim and where evidence could be needed for a number of sources. It is appropriate to retain as much as possible from the original file.</p>	<p>Review at 6 years</p> <p>Destroy under confidential conditions</p>	National Guidance
S 12	Letters of appointment	See notes	6 years after employment has terminated or until 70 th birthday, whichever is later	Destroy under confidential conditions	National Guidance
S 13	Pension Forms (all)	7		Destroy under	National Guidance

				confidential conditions	
S 14	Nominal rolls (e.g. lists of consultant staff etc.)	6		Destroy under confidential conditions	National Guidance
S 15	Nurses training records (from hospital-based nurse training schools prior to the introduction of academic-based training)	30		Likely to have archival value offer to Archivist before destruction	National Guidance
S 16	Personal records – major (e.g. personal files, staff records, letters of appointment, contracts, references and related correspondence, registration authority forms, training records, equal opportunity monitoring forms)	6 years after individual has left. Summary to be retained until individual's 70 th birthday or until 6 years after cessation of employment if aged over 70 years at the time. The summary should contain everything except attendance books, annual leave records, duty rosters, clock cards, timesheets, study leave applications,	The 6 year retention period is to take into account ET claims, or EL claims that may arise after the employee leaves the NHS employment, requests for information from the NHS pension agency etc. Claims of this nature can include periods of up to 6 years or more prior to the claim and where evidence could be needed for a number of sources. It is appropriate to retain as much as possible from the original file 6 years after individual leaves service, at which time a summary of the file must be kept until the individual's 70 th birthday. Please refer to the Management Guidance on Personal Files for guidance on what information should be kept as part of the summary.	Destroy under confidential conditions	National Guidance

		training plans			
S 17	Personal records – minor (e.g. attendance books, annual leave records, duty rosters(i.e. duty rosters held on the individual's record not the organisation or departmental rosters) clock cards, timesheets (relating to individual staff members, on call, bleep rotas) NB Includes locum doctors	2 years after the year to which they relate		Destroy under confidential conditions	National Guidance
S 18	Study leave applications	5		Destroy under confidential conditions	National Guidance
S 19	Timesheets (for individual members of staff)	2 years after the year to which they relate.	NB. Timesheets (for all individuals including locum doctors) held on the personnel record are minor records – retain for 2 years. Timesheets held elsewhere – i.e. on the ward retain for 6 months (as the master timesheets is held on the personnel file)	Destroy under confidential conditions	National Guidance
S 20	Training plans	2		Destroy under confidential conditions	National Guidance
S 21	Training course attendance records – signed attendance sheets	2	Required as evidence for CNST/IGT	Destroy under confidential conditions	Trust addition
S 22	Training evaluation/feedback	1		Destroy under confidential	Trust addition

				conditions	
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IT					
	Record type	Retention period	Notes	Final Action	Comments
IT 1	Documentation relating to computer programmes written in-house	Lifetime of software		Destroy under confidential conditions	National Guidance
IT 2	Software licences	Lifetime of software		Destroy under confidential conditions	National Guidance