

Witness Name: Ian Walker

Statement No: First

Exhibits: IW1 TO IW14

Dated: 28 November 2019

**INFECTED BLOOD INQUIRY**

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**EXHIBIT "IW12"**

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This is Exhibit "IW12" referred to in the statement of Ian Walker dated 28 November 2019.

Signed:

GRO-C

Ian Walker

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# 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 [waste disposal 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

- To 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 Definitions

#### 3.1 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.'

#### 3.2 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.

### 4 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.

### 5 Responsibilities

For a full description of information governance responsibilities please refer to the [Information Governance and Information Security policy](#). This policy outlines specific responsibilities in relation to this policy

#### Chief executive

The 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.

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 Executive Director of Improvement & Transformation is responsible for raising issues to the Trust board as appropriate.

**HIM/Patient Services Manager** has lead responsibility for medical records management across the Trust.

**Information governance lead** has lead responsibility for corporate records management.

#### **Information governance representatives (IGR) (nominated by senior managers within each department)**

IGRs are responsible for ensuring that staff within their directorate/department are informed and comply with this policy and procedure and to ensure that a local retention and destruction schedule is in place and that this is reviewed on a regular basis.

#### Trust archivist

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

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## 6 Preservation, retention and destruction of records

### Retention and destruction schedule

The Trust has an approved Trust [retention and destruction schedule](#) in place 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.

IGRs 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 information governance team.

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 [retention and destruction schedule](#) and the 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 five years. If the records have been retained for 20 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](#).

Records should be passed to the archivist no later than 20 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 IGR should be contacted. The IGR will then liaise with the Trust archivist and information

governance team to make a decision on the permanent preservation of this record.

### **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 IGR should be contacted and if the destruction of the record(s) is appropriate the IGR will authorise the destruction. The IGR 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 IGR.

If authorisation is not given to destroy the record(s), the IGR will advise the member of staff of this decision. A decision will be made by the IGR as to how long this record should be retained for. This record should then be included in the department's local retention schedule.

### **Retention and destruction of health records**

The Trust has a non-destruction policy for all electronic patient records.

All paper health records should be retained and destroyed as per the Trust retention and destruction schedule

### **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 in a network folder/ email server must be deleted from the system (and from the recycle bin). For records held on mobile devices, if the

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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 of 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 by:

- placing in a confidential bin
- shredding
- placing in a black plastic sack and contacting estates and facilities 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 record's life cycle a record's author can ask the information governance team 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**

Compliance with this policy will be monitored as follows:

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**

- A review will be undertaken by the information governance team of departments compliance with the Trust retention and destruction schedule and local retention and destruction schedule as part of the departmental health check audit

### **Paper Health records**



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- a quarterly audit ensuring correct retention, disposal and destruction of health records is undertaken by medical records. The medical records team spot checks that records within the confidential disposal bags have been tracked on the hospital information support system (EPIC). The results of the audit are summarised in the health records quarterly report presented to the medical records review group (MRRG) on a quarterly basis
  - the MRRG is responsible for reviewing the results of the audits undertaken and for identifying and taking further actions as required

## 7 References

Access to Health Records Act 1990  
National Health Service Litigation Authority  
Common Law on Confidentiality  
Data Protection Act 2018  
Freedom of Information Act 2000 – Section 46  
Data Security & Protection Toolkit  
Public Records Act 1958  
Records Management Code of Practice

## 8 Associated documents

- [access to health records policy](#)
- [access to health records procedure](#)
- [confidentiality of personal health information policy and procedure](#)
- [data protection policy and procedure](#)
- [developing Trust documents policy](#)
- [Information governance & information security policy](#)
- [medical records procedures](#)
- [records management policy](#)
- [retention and destruction schedule](#)
- [standards for health record keeping policy and procedure](#)
- [waste disposal policy](#)
- [waste disposal 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

Approval:	
Owning department:	Information Governance

## Information governance

### eHospital

Author(s):	Michelle Ellerbeck, Information Governance Lead		
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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 retention and destruction schedule template](#) on Connect.  
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'; justify why they need to be kept.
4. Once the local retention and destruction schedule has been approved by the department a senior manager/ associate director of operations (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 information governance team.

**Cambridge University Hospitals NHS Foundation Trust  
Trust Retention and Destruction Schedule**

**Sections:**

1. Special information – rules on retention
2. Disposal – applies to all staff: documents that can be disposed of straight away
3. Corporate documents – applies to all staff  
Corporate Departmental documents – some documents apply to all staff and to the specific departments
  - Estates & Facilities
  - HR
  - Information governance
  - Procurement
  - Risk management and governance
  - IT
  - Finance
  - Trust secretariat
  - Management bridge
  - Chaplaincy
  - Communications
  - Medical legal
  - Patient advice and liaison service
  - Patient information
4. Clinical documents – applies to all clinical staff  
Clinical special documents – applies to specific departments/information
  - Occupational health records
  - Radiology
  - Research & Development
  - Pharmacy
  - Pathology

## Section 1: Special Rules on retention

### Goddard Enquiry – Guidance on retention of documents issued in 2015

#### Categories of document for retention

Your organisation is asked to retain any and all documents; correspondence; notes; emails and all other information – however held – which contain or may contain content pertaining directly or indirectly to the sexual abuse of children or to child protection and care. For the purposes of this appendix, the word “children” relates to any person under the age of 18.

Such information may include, but is not limited to, the following:

- a. Any material, including reports; reviews; briefings; minutes; notes and correspondence in relation to allegations (substantiated or not) of individuals, organisations, institutions, public bodies or otherwise who may have been involved in, or have knowledge of, child sexual abuse, or child sexual exploitation;
- b. Any material, including reports; reviews; briefings; minutes; notes and correspondence in relation to allegations (substantiated or not) of individuals having engaged in sexual activity with, or having a sexual interest in, children;
- c. Any material, including reports; reviews; briefings; minutes; notes and correspondence in relation to institutional failures to protect children from sexual abuse or other exploitation;
- d. Any material relevant to statutory responsibilities for the care of children in public or private care;
- e. Any material relevant to the development of policy on child protection;
- f. Any material relevant to the development of legislation on child protection;
- g. Any material relating to the determination of the award of Honours to persons who are now demonstrated to have had a sexual interest in children or are suspected of having had such an interest.

It is not possible to produce a definitive list under (g). Accordingly we invite you to ensure that no documentation relating to the award of Honours to any person is destroyed pending the outcome of the Independent Inquiry.

#### We agreed the following

- Any patient paper records that we know to involve investigations or concerns into child protection or vulnerable adults will be marked not for disposal until the outcome of the Goddard enquiry is known. The safe guarding teams will identify any patients records that need to be marked not for disposal and send the list through to myself.
- Epic records – currently there are no plans to dispose of any records so no special action is required for patient records held on Epic

- Staff personal files for anyone involved in investigations. The safeguarding team will notify HR & departments to mark files not for disposal until the outcome of the enquiry is known
- The following records will be held by the safeguarding team indefinitely until the outcome of the enquiry is known, investigation files, policies including drafts and any information that is covered by point C & D below

The Trust Retention and Destruction schedule will be updated to reflect these decisions

### Public Records Act 1958

The 30 year rule under the Public Records Act 1958 is being reduced from 30 years to 20 years, by 2024 any records that are 20 years old will need to be transferred to a public records archive. There is a transition to this change from 2015 to 2024, reducing one year each year. Health Records are exempt from this change. Records that show a 30 year retention rule have been amended to 29 years for 2016.

### Section 2: Disposal

Applies to all staff: identifies documents/emails that can be deleted either immediately or once actioned

Emails

- Read receipts
- Connect bulletins – these are available on connect
- Junk mail or marketing emails
- Out of office messages
- System administrator messages
- Meeting request acceptances, declined
- Emails dealt with unless they need to be retained as per the retention schedule

Other documents

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### Section 2: Corporate documents

Applies to all staff

Ref	Record Type	Retention Period	Electronic Paper Both	Notes	Final action	Trust Guidance National Guidance
1	Audit Records	2 yrs	Both		Destroy confidentially	National guidance
2	Supporting documentation	6 months	Both	Retain for 6 months after audit report	Destroy confidentially	Trust guidance

	for the audit			produced		
3	Departmental Business plans, cases and strategies	See notes	Both	Directorate 20 yrs. Departmental 5 yrs	Destroy confidentially	National guidance
4	Departmental budget and finance information	6yrs	Both		Destroy confidentially	Trust guidance
5	Business Continuity Plan	Life time Old 'v' 3 yrs	Both		Destroy confidentially	Trust addition
6	Communication material - current	Life time	Both		Destroy confidentially	Trust guidance
7	Communication material– old versions	TBD	Both		Offer to Archivist	Trust guidance
8	Other complaints (non pals)	8yrs	Both		Destroy confidentially	Trust guidance
9	Complaint files – copies pf PALS retained by department	1 yrs	Both		Destroy confidentially	Trust guidance
10	Databases and logs	10yrs	Both		Destroy confidentially	Trust guidance
11	Diaries (office)	1 yr	Paper		Destroy confidentially	Trust guidance
12	Electronic diaries	12 months	Electronic		Destroy confidentially	Trust guidance
13	Drafts	See notes	Both	Destroy once document approved	Destroy confidentially	Trust guidance
14	E mails	See notes	Electronic	Retain emails for a task or piece of work until that has been resolved and then delete the emails.  Emails should not be retained once read/actioned unless the email needs to be retained as evidence of a decision/action, where possible if that is the case save the email in the appropriate network folder  Patient identifiable emails that need to be retained as a record of advice or clinical update should be copied into EPIC as soon as possible. Delete email once this has been filed.	Destroy confidentially	Trust addition

15	Form templates	See notes	Electronic	Current and last version	Destroy confidentially	Trust guidance
16	General correspondence	2 yrs	Both		Destroy confidentially	National guidance
17	Incident forms – copies retained in department	2 yrs	Both		Destroy confidentially	Trust guidance
18	Invoices – copies held by individual departments	2 yrs	Both		Destroy confidentially	Trust guidance
19	Non trust committee meeting Papers	5 yrs	Both		Destroy confidentially	National guidance
20	Notebooks – meeting and other	1yr	Paper		Destroy confidentially	Trust guidance
21	Policies, procedures, guidelines, work processes, flow charts	10 yrs	Both	After document has been superseded	Offer to Archivist	National guidance
22	Project files	6 yrs	Both	Except estates & facilities	Offer to Archivist	National guidance
23	Patient Surveys	2 yrs	Both		Destroy confidentially	National guidance
24	Patient valuable records	6 yrs	Both		Destroy confidentially	National guidance
25	Phone Message Book	2 yrs	Paper		Destroy confidentially	National guidance
26	Reports (all others)	5 yrs	Both		Destroy confidentially	Trust guidance
27	Record of custody and transfer of keys	2 yrs	Both		Destroy confidentially	National guidance
28	Supporting documents for reports	See notes	Both	Retain until report approved then destroy	Destroy confidentially	Trust guidance
29	Staff surveys	2yrs	Both		Destroy confidentially	Trust guidance
30	Statistics	3 yrs	Both	From date of submission to DH	Destroy confidentially	National guidance
31	Templates	Lifetime	Both		Destroy confidentially	Trust guidance
32	Training materials - current	Lifetime	Both		Destroy confidentially	Trust guidance
33	Training materials – old versions	2 yrs	Both		Destroy confidentially	Trust guidance
34	Training course attendance records – signed attendance sheets	6 months	Both		Destroy confidentially	Trust guidance
35	Training evaluation/feedback	1 yrs	Both		Destroy confidentially	Trust guidance

Retention periods apply to specific departments/information						
Finance						
1	Accounts – Annual (Final – one set only)	29 yrs	Both		Offer to archivist	National guidance
2	Accounts – Cost	29 yrs	Both	Following the end of the financial year to which they relate	Destroy confidentially	National guidance
3	Accounts - Working papers	3 yrs	Both	From completion of audit	Destroy confidentially	National guidance
4	Accounts - Minor records (passbooks, paying-in slips, cheque counterfoils, cancelled/discharged cheques <i>(other than cheques bearing <b>printed receipts</b> – see Receipts)</i> , accounts of petty cash expenditure, travelling and subsistence accounts, minor vouchers, duplicate receipt books, income records, laundry lists and receipts).	2 yrs	Both	From completion of the audit	Destroy confidentially	National guidance
5	Advice notes (payment) Remittance advice notes that are attached to weekly creditor payment runs – breakdown of all invoices that make up the payment.	1.5 yrs	Both		Destroy confidentially	National guidance
6	Audit records (internal and external) – original documents	2 yrs	Both	From completion of the audit	Destroy confidentially	National guidance
7	Audit reports (including management letters, VFM reports and system, final accounts memorandum)	2 yrs	Both	After formal clearance by Statutory Auditor	Destroy confidentially	National guidance



8	Bank automated clearing system (BACS records)	6 yrs	Both	After year end	Destroy confidentially	National guidance
9	Bank statements	2 yrs	Both	From completion of the audit	Destroy confidentially	National guidance
10	Benefactions (records of) – gifts/ endowment funds	5 yrs	Both	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.	Offer to archivist	National guidance
11	Bills, receipts and cleared cheques	6 yrs	Both		Destroy confidentially	National guidance
12	Budgets (including working papers, reports, virements and journals)	2 yrs	Both	From completion of the audit	Destroy confidentially	National guidance
13	Capital charges data	2 yrs	Both	From completion of the audit	Destroy confidentially	National guidance
14	Capital paid invoices	6 yrs	Both	After the end of the financial year to which they relate. The Limitation Act, 1980	Destroy confidentially	National guidance
15	Cash books	6 yrs	Both	Following the end of the financial year to which they relate The Limitation Act, 1980	Destroy confidentially	National guidance
16	Cash sheets	6 yrs	Both	Following the end of the financial year to which they relate The Limitation Act, 1980	Destroy confidentially	National guidance
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	6 yrs	Both	After the end of the financial year to which they relate	Destroy confidentially	National guidance

	initiative)					
18	Creditor payments	3 yrs	Both	Following the end of the financial year to which they relate	Destroy confidentially	National guidance
19	Debtors records – cleared	2 yrs	Both	From completion of audit	Destroy confidentially	National guidance
20	Debtors records – un-cleared	6 yrs	Both	From completion of audit	Destroy confidentially	National guidance
21	Demand notes	6 yrs	Both	Following the end of the financial year to which they relate	Destroy confidentially	National guidance
22	Estimates – including supporting calculations and statistics	3 yrs	Both	Following the end of the financial year to which they relate	Destroy confidentially	National guidance
23	Excess fares	2 yrs	Both	Following the end of the financial year to which they relate	Destroy confidentially	National guidance
24	Expense claims – including travel & subsistence claims and claims and authorisations	5 yrs	Both	Following the end of the financial year to which they relate	Destroy confidentially	National guidance
25	Fraud case files/ investigations	6 yrs	Both		Destroy confidentially	National guidance
26	Fraud national proactive exercises	3 yrs	Both		Destroy confidentially	National guidance
27	Funding Data	6 yrs	Both	Following the end of the financial year to which they relate	Destroy confidentially	National guidance
28	General medical services payments	6 yrs	Both	After the year end	Destroy confidentially	National guidance
29	Invoices	6 yrs	Both	Following the end of the financial year to which they relate The Limitation Act, 1980	Destroy confidentially	National guidance
30	Ledgers Including cash books, ledgers, income & expenditure journals, nominal rolls, non exchequer funds records (patient monies)	6 yrs	Both	Following the end of the financial year to which they relate The Limitation Act, 1980	Destroy confidentially	National guidance
31	Non-exchequer funds records	29 yrs	Both	Although technically exempt from the	Offer to archivist	National guidance

	(i.e. funding received by the organisation that does not directly relate to patient care e.g. charitable funds)			Public Records Acts, it would be appropriate for 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		
32	Patient Monies (i.e. smaller sums of donated money)	6 yrs	Both		Destroy confidentially	National guidance
33	Payments	6 yrs	Both	After year end	Destroy confidentially	National guidance
34	Patient travel claims	6 yrs	Both		Destroy confidentially	Trust guidance
35	Payroll – i.e. list of staff in the pay of the organisation	6 yrs	Both	After termination of employment For superannuation purposes authorities may wish to retain such records until the subject reaches benefit age	Destroy confidentially	National guidance
36	PAYE records	6 yrs	Both	After termination of employment	Destroy confidentially	National guidance
37	Positive predictive value performance indicators	3 yrs	Both		Destroy confidentially	National guidance
38	Private Finance Initiative records	30 yrs	Both		Offer to archivist	National guidance
39	Receipts	6 yrs	Both	Following the end of the financial year to which they relate The Limitation Act, 1980	Destroy confidentially	National guidance
40	Superannuation forms – SD55 (ADP) and SD55J (copies)	10 yrs	Both	Originals are sent to NHS Pensions Agency	Destroy confidentially	Trust guidance
41	Superannuation accounts	10 yrs	Both		Destroy confidentially	National guidance
42	Superannuation registers	10 yrs	Both		Destroy confidentially	National guidance

43	Tax forms	6 yrs	Both		Destroy confidentially	National guidance
44	Trust documents without permanent relevance/ not otherwise mentioned	6 yrs	Both		Destroy confidentially	National guidance
45	VAT records	6 yrs	Both	After the end of the financial year to which they relate	Destroy confidentially	National guidance
46	Wages /Salary records	10 yrs	Both	After termination of employment For superannuation purposes authorities may wish to retain such records until the subject reaches benefit age	Destroy confidentially	National guidance
47	Commissioning decisions	6 yrs	Both		Destroy confidentially	National guidance
<b>Procurement</b>						
1	Approved suppliers lists	11 yrs	Both	Consumer Protection Act 1987	Destroy confidentially	National guidance
2	Approval files (contracts)	6 yrs	Both	After end of the year the contract expired	Destroy confidentially	National guidance
3	Contracts – financial - Approval files - Approved suppliers lists	15 yrs 11 yrs	Both		Destroy confidentially	National guidance
4	Contracts – non-sealed (property) on termination	6 yrs	Both	After termination of the contract The Limitation Act, 1980	Destroy confidentially	National guidance
5	Contracts – non sealed (other) on termination	6 yrs	Both	After the termination of the contract The Limitation Act, 1980	Destroy confidentially	National guidance
6	Contracts – sealed (and associated records)	15 yrs	Both	Contracts under seal and associated records should be kept for a minimum of 15 years after which they should be reviewed.	Offer to archivist	National guidance
7	Delivery notes	2 yrs	Both	Following the end of the financial year to which they relate	Destroy confidentially	National guidance
8	Products – liability	11 yrs	Both	Consumer Protection Act 1987	Destroy confidentially	National guidance
9	Requisitions including non	1.5 yrs	Both		Destroy confidentially	National guidance

	stock order books and virement forms					
10	Stock control reports	1.5 yrs	Both		Destroy confidentially	National guidance
11	Stores records – major (stores ledgers etc.)	6 yrs	Both		Destroy confidentially	National guidance
12	Stores records – minor (requisitions, issue notes, transfer vouchers, goods received books etc.)	1.5 yrs	Both		Destroy confidentially	National guidance
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 yrs	Both		Destroy confidentially	National guidance
14	Tenders (successful)	Tender period plus 6 year limitation period	Both	The Limitation Act 1980	Destroy confidentially	National guidance
15	Tenders (unsuccessful)	6 yrs		The Limitation Act, 1980	Destroy confidentially	National guidance
<b>Estates and facilities</b>						
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	29 yrs	Both		Offer to archivist	National guidance

	private buildings and engineering consultants.					
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 yrs	Both		Offer to archivist	Local guidance from Estates – changed from National guidance of 30 years to 10 years
3	Town and Country Planning documents	29 yrs	Both		Destroy confidentially	Local guidance from Estates – change from national guidance
4	Buildings – papers relating to occupation (but not Health & Safety information)	3 yrs	Both	After occupation ceases. Construction Design Management Regulations 1994.	Destroy confidentially	National guidance
5	Catering forms	6 yrs	Both		Destroy confidentially	National guidance
6	CCTV Images	31 days	Both	Information commissioners code of conduct	Destroy confidentially	National guidance
7	Drawings – plans and buildings (architect signed, not copies)	Lifetime	Both	Of the building to which they relate	Offer to archivist	National guidance
8	Deeds of Title	See notes	Both	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	Offer to archivist	National guidance

9	Engineering works – plans and building records	Lifetime	Both	Of the building to which they relate	Offer to archivist	National guidance
10	Equipment – records of non fixed equipment, including specification, test records, maintenance records and logs	11 yrs	Both	Consumer Protection Act 1987	Destroy confidentially	National guidance
11	Inspection reports (e.g. boilers/lifts etc.)	Lifetime	Both	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.	Destroy confidentially	National guidance
12	Inventories of furniture, medical and surgical equipment not held on store charge having a minimum life of 5 years	See notes	Both	Keep until next inventory	Offer to archivist	National guidance
13	Inventories of plant and permanent or fixed equipment	5 yrs	Both	After date of inventory	Offer to archivist	National guidance
14	Invoices (utility)	6 yrs	Both		Destroy confidentially	Trust Addition
15	Land surveys/registers	30 yrs	Both		Offer to archivist	National guidance
16	Laundry lists and receipts	2 yrs	Both	From completion of Audit	Destroy confidentially	National guidance
17	Leases – the grant of leases, licences & other rights over property	Period of the lease plus 12 years	Both	Limitations Act 1980	Destroy confidentially	National guidance
18	Manuals (operating)	Lifetime	Both	Normally retain for the lifetime of the equipment.	Destroy confidentially	National guidance
19	Maintenance contracts - routine	6 yrs	Both	From the end of the contract	Destroy confidentially	National guidance
20	Plans – building (as built)	Lifetime of the building	Both		Offer to archivist	National guidance
21	Plans – building (detailed)	Lifetime of the building	Both		Offer to archivist	National guidance



22	Plans – engineering	Lifetime of the building	Both		Offer to archivist	National guidance
23	Photographs of buildings and work in progress	29 yrs	Both		Offer to archivist	National guidance
24	Property acquisition dossiers	29 yrs	Both		Offer to archivist	National guidance
25	Property disposal dossiers	29 yrs	Both		Offer to archivist	National guidance
26	Radioactive waste	29 yrs	Both	Radioactive substances act 1993	Offer to archivist	National guidance
27	Structure plans	Lifetime of building	Both		Offer to archivist	National guidance
28	Surveys – building and engineering works	Lifetime of building or installation	Both		Offer to archivist	National guidance
29	Site files	Lifetime of site	Both		Offer to archivist	National guidance
30	Transport (staff pool car documentation)	3 yrs	Both	Unless litigation ensues	Destroy confidentially	National guidance
31	Staff car parking permits	3 yrs	Both		Destroy confidentially	National guidance
32	Maps	Lifetime	Both		Offer to Archivist	National guidance
33	Receipt for registered and recorded delivery mail	2 yrs	Both		Destroy confidentially	National guidance
34	Specifications (e.g. equipment, services)	6 yrs	Both	The Limitation Act, 1980	Destroy confidentially	National guidance
<b>Risk management and governance</b>						
1	Accident Register (Reporting of Injuries, Diseases and Dangerous Occurrences register)- see also incident forms accident and incident forms	10 yrs	Both	Reporting of injuries, diseases and dangerous occurrences regulations reg. 7, Social Security (Claims & Payment) Regulations, reg. 25	Destroy confidentially	National guidance
2	Exposure monitoring records	5 yrs	Both	From the date the record was made. For staff records – see occupational health section.	Destroy confidentially	National guidance

				Control of substances hazardous to Health Regulations 2002		
3	Health and safety documentation – inspections, risk assessments	3 yrs	Both		Destroy confidentially	National guidance
5	Medical device alerts	See notes	Both	Retain until updated or withdrawn. Check MHRA website. <a href="http://www.mhra.gov.uk">www.mhra.gov.uk</a>	Destroy confidentially	National guidance
6	Serious incident files	29 yrs	Both		Offer to archivist	National guidance
7	NHSLA evidence and records	2 yrs	Both	Retain one years evidence for reference plus the current year	Destroy confidentially	Trust guidance
<b>HR</b>						
1	Consultants recruitment records	5 yrs	Both	Following term of office	Destroy confidentially	National guidance
2	CVs for non-executive directors (successful)	5 yrs	Both	Following completion of selection process	Destroy confidentially	National guidance
3	CVs for non-executive directors (unsuccessful)	2 yrs	Both		Destroy confidentially	National guidance
4	Duty rosters	4 yrs	Both		Destroy confidentially	National guidance
5	Flexi Working Hours actually worked	0.5 yrs	Both		Destroy confidentially	National guidance
6	Industrial tribunals	10 yrs	Both		Destroy confidentially	National guidance
7	Job advertisements	1 yrs	Both	Following termination of employment	Destroy confidentially	National guidance
8	Job applications - successful	3 yrs	Both		Destroy confidentially	National guidance
9	Job applications - unsuccessful	1 yrs	Both		Destroy confidentially	National guidance
10	Job descriptions/ Person Specifications	3 yrs	Both		Destroy confidentially	National guidance
11	Pension Forms (all)	7 yrs	Both		Destroy confidentially	National guidance
12	Nominal rolls (e.g. lists of consultant staff etc.)	6 yrs	Both		Offer to archivist	National guidance
13	Nurses training records (from hospital-based nurse training schools prior to the	29 yrs	Both		Destroy confidentially	National guidance

	introduction of academic-based training)					
14	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 yrs	Both	Summary to be retained until individual's 70 <sup>th</sup> 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	Destroy confidentially	National guidance
15	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 yrs	Both		Destroy confidentially	National guidance
16	Study leave applications	5 yrs	Both		Destroy confidentially	National guidance
17	Timesheets	2 yrs	Both		Destroy confidentially	National guidance
18	Honorary contract documents	6 yrs after the contract holder has left the Trust	Both	Advice from HR	Destroy confidentially	Trust guidance
<b>IT</b>						
1	Documentation relating to computer programmes written in-house	Lifetime of software	Both		Destroy confidentially	National guidance
2	Software licences	Lifetime of	Both		Destroy confidentially	National guidance

		software				
3	Websense monitoring logs	3 months	Both		Destroy confidentially	Trust guidance
4	Network device logs	60 days	Both	Retained by HP	Destroy confidentially	Trust guidance
<b>Information governance</b>						
1	Freedom of Information Requests	3 yrs 10 yrs (exemption)	Both		Destroy confidentially	National guidance
2	Information Governance toolkit Evidence	2 yrs	Both	Retain one years evidence for reference plus the current year	Destroy confidentially	Trust guidance
3	Subject access	3 yrs	Both	After last action	Destroy confidentially	National guidance
4	Mental Health Administration Records	5 yrs	Both		Destroy confidentially	National guidance
5	Records of the destruction of records	29 yrs	Both		Destroy confidentially	National guidance
6	Registry lists of public records for permanent preservation	29 yrs	Both		Destroy confidentially	National guidance
<b>Trust secretariat</b>						
1	Annual reports	29 yrs	Both		Offer to Archivist	National guidance
2	Meeting papers for all Trust major committee and sub committees	29 yrs	Both		Offer to Archivist	National guidance
<b>Management Bridge</b>						
1	Directorate/Trust Business plans, cases and strategies	See notes	Both	Directorate 20 yrs. Departmental 5 yrs	Destroy confidentially	National guidance
2	Department of health circulars and memos	6 yrs	Both		Destroy confidentially	National guidance
3	History of Organisation	29 yrs	Both		Offer to Archivist	National guidance
4	Hospital Services that the Trust provides e	10 yrs	Both		Destroy confidentially	National guidance
5	Mortgage documents	6 yrs	Both	After repayment	Offer to Archivist	National guidance
6	Parliamentary & MP Enquiries	10 yrs	Both		Destroy confidentially	National guidance
7	Public Consultations	5 yrs	Both		Destroy confidentially	National guidance

8	Quality assurance records	12 yrs	Both		Destroy confidentially	National guidance
9	Reports (major)	29 yrs	Both		Offer to Archivist	National guidance
<b>Chaplaincy</b>						
1	Chaplaincy records – non patient identifiable	2 yrs	Both		Offer to Archivist	National guidance
<b>Communications</b>						
1	Press cuttings	1 yr	Both		Offer to Archivist	National guidance
2	Press Releases	7 yrs	Both			National guidance
3	Website pages	29 yrs	Both		Offer to Archivist	Trust guidance
<b>Medical legal</b>						
1	Litigation dossiers	10 yrs	Both	Where a legal action has been commenced, keep as advised by legal representatives	Destroy confidentially	National guidance
2	Police Statements	10 yrs	Both		Destroy confidentially	National guidance
<b>Patient advice and liaison service</b>						
1	Patient Advice and Liaison Service (PALS) records	10 yrs	Both	After closure of the case	Destroy confidentially	National guidance
2	Complaints (PALS)	8 yrs	Both	See also litigation dossiers	Destroy confidentially	National guidance
<b>Patient information</b>						
1	Patient information leaflets	6 yrs	Both	After the leaflet has been superseded	Destroy confidentially	National guidance

### Section 3: Clinical documents

Applies to all clinical staff and specialities

Ref	Record Type	Retention Period	Electronic Paper Both	Notes	Final action	Trust Guidance National Guidance
1	Health records	Indefinite	Electronic	Stored in any core clinical system and Electronic Patient Record	n/a	Trust guidance
2	Data warehouse	Indefinite	Electronic		n/a	Trust guidance
3	Paper Health records marked do not destroy	Permanent	Paper		n/a	Trust guidance
4	Paper Deceased patients	8 yrs	Paper	CJD patients must be retained for 30	Destroy confidentially	National guidance

				years		
5	Genito Urinary Medicine	See notes	Both	10 yrs or <18 until 25 <sup>th</sup> b'day or 10 yrs whichever is the longest	Destroy confidentially	National guidance
6	Patient Hand held records	See notes	Paper	Scanned into the Electronic Patient Record	Destroy confidentially	National guidance
7	Paper Health records	See notes		After conclusion of treatment – last entry in paper notes & excluding records specified elsewhere in this schedule 8 years or 15 years for research patients 26 years for Children or Obstetric patient 30 years for Mental Health patients, CJD, Transplant, Genetic, Clinical Psychology & Oncology	Destroy confidentially	National guidance
8	Microfilmed Health Records	Indefinite	n/a	Patient notes microfilmed from 1972 to 1987	n/a	Trust addition
9	Microfiched Health Records	Indefinite	n/a	Patient notes microfiched between 1990 to 1996	n/a	Trust addition
10	Health records for patients under medical surveillance	See notes	Paper	50 years from the date of the last entry or age 75, whichever is the longer.	Destroy confidentially	National guidance
11	Pre-1948 records	Permanent	Paper	Notes retained with archivist	n/a	Trust guidance
12	Abortion – Certificate	3 yrs	Paper		Destroy confidentially	National guidance
13	Accident and Emergency Registers	8 yrs	Both		Offer to Archivist	National guidance
14	Accident and Emergency Cards	8 yrs adults 25 yrs children 26 if child 17 20 yrs for	Paper		Destroy confidentially	National guidance

		mentally disordered persons 8 yrs after death				
15	Admission books – paper copies	8 yrs	Paper		Offer to Archivist	National guidance
16	Angiography tapes and disks	8 yrs	Electronic		Destroy confidentially	National guidance
17	Audit trails (Electronic Health Records)	Permanent	Both		n/a	National guidance
18	Birth registers	2 yrs	Paper		Offer to Archivist	National guidance
19	Birth Notification	25 yrs 26 yrs if child 17 8 yrs after death	Paper		Destroy confidentially	National guidance
20	Chaplaincy records	2 yrs	Both		Destroy confidentially	National guidance
21	Child Protection register	26 yrs 8 yrs after death	Both		Destroy confidentially	National guidance
22	Clinical audit records – raw data	6 months	Both		Destroy confidentially	Trust guidance
23	Clinical audit records – reports – electronic	Permanent	Both		Destroy confidentially	Trust guidance
24	Counselling records	20 years 8 years after death	Both		Destroy confidentially	National guidance
25	Death	2 yrs	Paper		Offer to Archivist	National guidance
26	Death, Cause of Certificate Counterfoils	2 yrs	Paper		Destroy confidentially	National guidance
27	Diaries	2 yrs	Both		Destroy confidentially	National guidance
28	Discharge register	8 yrs	Paper		Offer to Archivist	National guidance
29	Did not attend letters	2 yrs	Paper		Destroy confidentially	National guidance
30	Electrocardiogram (ECG) Records	7 yrs	Electronic		Destroy confidentially	National guidance
31	Hearing screening records	25 yrs	Both		Destroy confidentially	Trust guidance



32	Homicide serious incident” records	30 yrs	Paper		Destroy confidentially	National guidance
33	Hospital acquired infection records	6 yrs	Paper		Destroy confidentially	National guidance
34	Hospital records not listed elsewhere in this schedule	8 yrs	Both		Destroy confidentially	National guidance
35	Human fertilisation records, including embryology records	Child not born 10 yrs Child born 30 yrs No info about birth 50 yrs	Both		Destroy confidentially	National guidance
36	Paper Intensive care unit charts	8 yrs adults 25 yrs children 26 yrs if child 17 20 yrs for mentally disordered persons 8 yrs after death	Paper		Destroy confidentially	National guidance
37	Neonatal screening records	25 yrs	Paper		Destroy confidentially	National guidance
38	Notifiable disease book	6 yrs	Paper		Destroy confidentially	National guidance
39	Operating Theatre Lists	4 yrs	Paper		Offer to Archivist	National guidance
40	Operating Theatre Lists	48 hrs	Paper copy printed from electronic		Destroy confidentially	
41	Occupational Therapy	See notes	Both	Retain for the period of time appropriate to the patient/speciality - see above	Destroy confidentially	National guidance
42	Operating Theatre registers	8 yrs	Paper		Offer to Archivist	National guidance
43	Outpatient clinic lists	2 months	Paper		Destroy confidentially	Trust guidance

44	Patient Photographs/ Medical Illustrations	30 Years	Both		Destroy confidentially	Trust guidance
45	Private patient's records	See notes	Both	See <b>Patient Health Records</b>	Destroy confidentially	National guidance
46	Records of destruction of health records	Permanent	Both		Destroy confidentially	National guidance
47	Recovery Room Registers	8 yrs	Paper		Offer to Archivist	National guidance
48	Referral letters for clients referred to health or care services but not accepted	See notes	Paper	Retain for the period of time appropriate to the patient/speciality - see above	Destroy confidentially	National guidance
49	Self discharge books	8 yrs	Paper		Destroy confidentially	Trust guidance
50	Urgent Laboratory results book	2 yrs	Both		Destroy confidentially	Trust guidance
51	Video recordings and voice recordings	8 yrs adults 25 yrs children 26 yrs if child 17 20 yrs for mentally disordered persons 8 yrs after death	Electronic		Destroy confidentially	National guidance
52	Ward registers including daily bed returns	2 yrs	Paper		Offer to Archivist	National guidance
53	Withdrawn referral letters	2 months	Paper		Destroy confidentially	Trust guidance
54	Surgical appliances – forms – AP1, 2, 3 and 4	2 yrs	Both	From completion of the audit	Destroy confidentially	National guidance
<b>Retention periods apply to specific departments/information</b>						
Ref	Record Type	Retention Period	Electronic Paper Both	Notes	Final action	Trust Guidance National Guidance
<b>Occupational health records</b>						
1	Immunisation and vaccination	10 yrs	Both		Destroy confidentially	National guidance

	records					
2	Occupational health records (staff)	See notes	Both	3 years after termination of employment	Destroy confidentially	National guidance
3	Personal exposure monitoring record	40 yrs	Both	From exposure date	Destroy confidentially	National guidance
4	Personnel health records for occupational health surveillance	40 yrs	Both	From the last entry on the record	Destroy confidentially	National guidance
5	Radiation dose records for classified persons	50 yrs or 75 yrs old whichever is longer	Both		Destroy confidentially	National guidance
6	Occupationally Related Diseases e.g. asbestosis, pneumoconiosis, byssinosis	10 yrs	Both		Destroy confidentially	National guidance
<b>Radiology</b>						
1	Ultrasound Records (e.g. Vascular, Obstetric)	8 yrs adults 25 yrs children 26 if child 17 20 yrs for mentally disordered persons	Both		Destroy confidentially	National guidance
2	Mammography Screening	See notes	Both	Normal Packet – 9 years Cancers – Indefinitely Research Cases – 15 years Age Trial Cases – 9 years Deaths – 9 years	Destroy confidentially	National guidance
3	X-ray films	8 yrs adults 25 yrs children 26 yrs if child 17 20 yrs for mentally disordered	Both		Destroy confidentially	National guidance

		persons 8 yrs after death				
4	X-Ray Referral/Request Cards	8 yrs	Both		Destroy confidentially	National guidance
5	X-ray registers	30 yrs	Paper		Offer to Archivist	National guidance
6	X-ray reports	See notes	Both	Part of the patient record	Destroy confidentially	National guidance
<b>Pathology</b>						
1	Accreditation documents, records of inspections	10 yrs	Both		Destroy confidentially	National guidance
2	Body release forms	2 yrs	Both		Destroy confidentially	National guidance
3	Batch records results	10 yrs	Both		Destroy confidentially	National guidance
4	Blood Gas results	See Notes	Both	Retain for the period of time appropriate to the patient/speciality	Destroy confidentially	National guidance
5	Bound copies of reports/records if made	30 yrs	Both		Destroy confidentially	National guidance
6	Cervical screening slides	10 yrs	Both		Destroy confidentially	National guidance
7	Day books and records of specimens received by a laboratory	2 yrs	Both		Destroy confidentially	National guidance
8	Donor records (blood and tissue)	30 yrs	Both		Destroy confidentially	National guidance
9	Equipment/ instruments maintenance logs	Lifetime of equipment	Both		Destroy confidentially	National guidance
10	External quality control records	2 yrs	Both		Destroy confidentially	National guidance
11	Forensic medicine records	30 yrs	Both		Destroy confidentially	National guidance
12	Human	30 yrs	Both		Destroy confidentially	National guidance
13	Internal quality control records	10 yrs	Both		Destroy confidentially	National guidance
14	Lab file cards or other working records of test results for named patients	2 yrs	Both		Destroy confidentially	National guidance
15	Mortuary Registers	10 yrs	Both		Destroy confidentially	National guidance

16	Near patient test data – result in patient record log	Lifetime of instrument	Both		Destroy confidentially	National guidance
17	Pathological archive museum catalogues	30 yrs	Both		Destroy confidentially	National guidance
18	Photographic records	30 yrs	Both		Destroy confidentially	National guidance
19	Post mortem registers	30 yrs	Both		Offer to Archivist	National guidance
20	Procurement, use, modification and supply records relevant to production of products (diagnostics) or equipment	11 yrs	Both		Destroy confidentially	National guidance
21	Records of telephoned reports	2 yrs	Both		Destroy confidentially	National guidance
22	Records relating to investigation or storage of specimens relevant to organ transplantation, semen or ova	30 yrs	Both		Destroy confidentially	National guidance
23	Reports, copies Post mortem reports	8 yrs	Both		Destroy confidentially	National guidance
24	Request forms that are not a unique record	1 week	Both		Destroy confidentially	National guidance
25	Request forms that contain clinical information not readily available in the health record	30 yrs	Both		Destroy confidentially	National guidance
26	Standard operating procedures (current and old)	30 yrs	Both		Destroy confidentially	National guidance
	<b>Specimens and preparations</b>					
27	Blocks for electron microscopy	30 yrs	Both		Destroy confidentially	National guidance
28	Electrophoretic strips and immunofixation plates	5 yrs	Both		Destroy confidentially	National guidance
29	Foetal serum	30 yrs	Both		Destroy confidentially	National guidance
30	Frozen tissue for immediate histological assessment	10 yrs	Both		Destroy confidentially	National guidance

31	Frozen tissue or cells for histochemical or molecular genetic analysis	10 yrs	Both		Destroy confidentially	National guidance
32	Grids for electron microscopy	10 yrs	Both		Destroy confidentially	National guidance
33	Human DNA	4 weeks diagnostic specimens 30 yrs generic disorders	Both		Destroy confidentially	National guidance
34	Human tissue and/or cells for therapeutic use Raw data Traceability data	10 yrs 30 yrs	Both		Destroy confidentially	National guidance
35	Microbiological cultures	See notes	Both	24-28 days after final report of a positive culture issued. 7 days for certain specified cultures - see RCPATH document	Destroy confidentially	National guidance
36	Museum specimens (teaching collections) - Stained slide	Permanently	Both		Destroy confidentially	National guidance
37	Newborn blood spot screening cards	5 yrs	Both		Destroy confidentially	National guidance
38	Paraffin blocks	30 yrs	Both		Destroy confidentially	National guidance
39	Records relating to donor or recipient sera	11 yrs	Both		Destroy confidentially	National guidance
40	Serum following needle stick injury or hazardous exposure	2 yrs	Both		Destroy confidentially	National guidance
41	Serum from first pregnancy booking visit	1 yr	Both		Destroy confidentially	National guidance
42	Wet tissue	4 weeks	Both		Destroy confidentially	National guidance
43	Whole blood samples, for full blood count	24hrs	Both		Destroy confidentially	National guidance
	<b>Transfusion laboratories</b>		Both			
44	Annual reports	15 yrs	Both		Offer to Archivist	National guidance

45	Autopsy reports, specimens, archive material and other where deceased has been subject if a coroners autopsy	See notes	Both	These are coroner records – copies may only be lodged on the health record with the coroners permission	Destroy confidentially	National guidance
46	Blood bank register, blood component audit trail and fates	30 yrs	Both		Offer to Archivist	National guidance
47	Blood for grouping antibody screening and saving and or cross matching	1 week at 4°C	Both		Destroy confidentially	National guidance
48	Forensic material – criminal cases	Permanently	Both		Destroy confidentially	National guidance
49	Refrigeration and freezer charts	11 yrs	Both		Destroy confidentially	National guidance
50	Request forms for grouping, antibody screening and cross matching	1 month	Both		Destroy confidentially	National guidance
51	Results of grouping, antibody screening and other blood transfusion-related tests	30 yrs	Both		Destroy confidentially	National guidance
52	Separated serum/ plasma stored for transfusion purposes	Up to 6 months	Both		Destroy confidentially	National guidance
53	Storage of material following analysis of nucleic acids	30 yrs	Both		Destroy confidentially	National guidance
54	Worksheets	30 yrs	Both			National guidance
<b>Pharmacy</b>						
1	Prescriptions - Chemotherapy	2 yrs	Both	After last treatment	Destroy confidentially	National guidance
2	Clinical drug trials	5 yrs	Both	After completion of trail	Destroy confidentially	National guidance
3	FP10, TTOs, outpatients, private	2 yrs	Both		Destroy confidentially	National guidance
4	Parenteral nutrition	2 yrs	Both		Destroy confidentially	National guidance
5	Unlicensed medicines	5	Both	(Requirement of MHRA Guidance Note	Destroy confidentially	National guidance



	dispensing records			No. 14. Permanent record of batch details kept)		
6	Raw material request and control forms	See Notes	Both	At least 5 years (Part of batch record, so product liability issues apply)	Destroy confidentially	National guidance
7	Resuscitation box	1 yr	Both	After the expiry of the longest dated item	Destroy confidentially	National guidance
8	Chemotherapy, aseptic worksheets, parenteral nutrition, production batch records	11 yrs	Both	Products liability extends this to 11 years after expiry	Destroy confidentially	National guidance
9	Environmental monitoring results	1 yr	Both	After expiry date of products As electronic record – in perpetuity	Destroy confidentially	National guidance
10	Equipment validation	Lifetime of equipment	Both		Destroy confidentially	National guidance
11	QC documentation, certificates of analysis	See notes	Both	5 years or 1 year after expiry of batch whichever is longer	Destroy confidentially	National guidance
12	Refrigerator temperature	1 yr	Both	(Refrigerator records to be retained for the life of any product stored therein, particularly vaccines)	Destroy confidentially	National guidance
13	Standard operating procedures	15 yrs	Both	After superseded by revised version As electronic record – in perpetuity	Destroy confidentially	National guidance
14	Invoices	6 yrs	Both		Destroy confidentially	National guidance
15	Order and delivery notes, requisition sheets, old order books	See notes	Both	Current financial year plus one	Destroy confidentially	National guidance
16	Picking tickets/ delivery notes	3 months	Both		Destroy confidentially	National guidance
17	Ward pharmacy requests	1 yr	Both		Destroy confidentially	National guidance
18	Controlled drug destruction records (pharmacy and ward based)	7 yrs	Both		Destroy confidentially	National guidance
19	Controlled drug prescriptions (TTOs/OP)	2 yrs	Both		Destroy confidentially	National guidance
20	Controlled drug order books,	2 yrs	Both		Destroy confidentially	National guidance

	ward orders and requisitions					
21	Controlled drug registers and CDRB's (pharmacy and ward based)	2 yrs	Both		Destroy confidentially	National guidance
22	Extemporaneous preparation worksheets	13 yrs	Both		Destroy confidentially	National guidance
23	Aseptic worksheets (adults)	13 yrs	Both		Destroy confidentially	National guidance
24	Aseptic worksheets (paediatrics)	26 yrs	Both		Destroy confidentially	National guidance
25	External orders and delivery notes	2 yrs	Both		Destroy confidentially	National guidance
26	Clinical trials	5 yrs	Both		Destroy confidentially	National guidance
<b>R&amp;D</b>						
1	Trial Master File (responsibility of Sponsor and Chief Investigator to ensure that documents are retained)	5 yrs	Both	After the conclusion of the trial	Destroy confidentially	National guidance
2	Trial Subject's Medical Files (Sponsor and Chief Investigator's responsibility to ensure retained)	5 yrs	Both	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 confidentially	National guidance
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	Both	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 confidentially	National guidance

				2 years after formal discontinuation of clinical development of the investigational product		
4	Trial subject's medical files	See notes	Both	Retain in accordance with applicable legislation and in accordance with the maximum period of time permitted by the hospital, institution or private practice	Destroy confidentially	National guidance
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	Both	Retain as long as the product is authorised	Destroy confidentially	National guidance
6	Final Report (responsibility of the sponsor or subsequent owner's to retain documents)	5 yrs	Both	After the medicinal product is no longer authorised	Destroy confidentially	National guidance
7	Data collected in the course of the research	See notes	Both	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 confidentially	National guidance
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 yrs	Both		Offer to archivist	National guidance
9	Research Ethics Committee records	3 yrs	Both	From the date of the decision	Offer to Archivist	National guidance

