

# **NHSBSA Corporate Records Retention Schedule**

**NHS Business Services Authority  
Corporate Secretariat  
NHSBSARM012**

## Issue Sheet

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## Introduction

### General points to note:

1. The retention schedule and these guidelines have been drawn up to assist local records managers and other staff to fulfil their records management responsibilities. Both will be incrementally and regularly updated until they are of sufficient scope and complexity to fully comply with the terms of the NHSBSA's Records Management Policy, after which they will be reviewed on a regular basis to ensure that they continue to meet requirements.
2. A retention schedule, also called a disposal schedule, is an agreed schedule of how long records are to be retained. They are usually based on a mixture of legal requirement and best practice, e.g., the Companies Act 1980 requires retention of financial records for 6 years after the end of the current financial year but there is no legislation about how long to retain the application forms of unsuccessful job applicants. Therefore organisations make some decisions for themselves. Additionally, it may be operationally more appropriate to apply the retention schedule at file rather than document level, even if this means that some records within the file are retained for longer than recommended. It is important that this fact is recorded, e.g., in SOPs (Standard Operating Procedures).

It is very important that records are not destroyed earlier than the length of time specified in the retention schedule; the schedule always gives the minimum period of time and this should not be deviated from without explanation and agreement in writing. In general, the retention period starts when a file is closed or otherwise finalised – e.g., the retention period of 6 years applicable to a non-sealed contract takes effect from the date on which the contract expires, not the date from which it is effective. The start date may differ depending on whether the records are substantive, administrative or transitory – see below for further details.
3. A start date for the retention period of 'Last related action / event' is used where there would normally be records of a chain of actions rather than of one single action. For example, a request for retrieval of a batch of prescriptions from the Warehouse has a retention period of 2 years; however, the period starts when the batch is returned – the last action in the request process – rather than on the date the form was received. Similarly, for a case file or enquiry, the retention period for substantive records will start when the file or enquiry is closed rather than from the time it was opened or initiated.
4. At times, an alternative start date for the retention period, based on the end of the relevant year rather than the 'trigger' action itself, is added (e.g., press releases are to be held for 6 years from Date of release / End relevant year). This is to allow for the fact that carrying out disposal on a rolling basis may impose an unreasonable administrative burden if this is not already the current practice, in which case it is acceptable to wait until the year end and dispose of all the records relating to that year in bulk.
5. Retention and disposal requirements are independent of any particular format of record that might be historically created (e.g. card, register) or media (e.g. paper, electronic). All records management documentation focuses on the record as a product of an activity, rather than as part of a subject-based group, or the product of a particular administrative division. This helps to make records management guidance and procedures flexible, and to prolong their period of application.
6. The retention periods identified in the retention schedule are based in the first instance on the NHS Records Management Code of Practice (the CoP). Where the CoP does not include records produced by the NHSBSA, the retention period will have been informed by guidance from The National Archives, information advisory bodies (e.g., Joint Information Systems Committee), large national organisations whose records management practice has been publicly recognised as having a high professional standard (e.g., Universities of Edinburgh and of Glasgow) or developed from business need within the NHSBSA.

7. Records sentenced for destruction under the Guidelines must be destroyed in accordance with internal policy covering disposal of confidential material. Where records are due to be destroyed, back-up copies stored on alternative media (server / microfilm / paper / CDs etc) should also be destroyed. This is vital to ensure compliance with the requirements of Data Protection and Freedom of Information legislation. For this reason it is essential that the master file or record, and the master format, be unambiguously identified at all times.
8. If a litigation hold is placed on a file (which means that it is expected that the record will be required for current or specific later litigation) then the file in question should be identified as having such a hold. It is not to be destroyed.
9. When records identified for disposal in the Guidelines are destroyed, a register of such records needs to be kept. If there is any lack of clarity about which disposal period applies to your record please contact your local records manager, or the corporate records manager. If you have records which do not, or which do not appear to, fit any of the classifications or record types provided, please contact the corporate records manager. It is not sufficient to document that a quantity of records had been destroyed on a certain date. Enough details should be retained to identify which records have been destroyed.

The aims of the schedule and associated guidance are to:

- assist in identifying records that may be worth preserving permanently as part of local or national archives
- prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration
- provide consistency for the destruction of those records not required permanently after specified periods
- promote improved Records Management practices within the NHSBSA.



### Further points to note:

**Long-term or permanent retention:** As the records produced by the NHSBSA are public records they can not be retained for longer than 20 years without agreement by The National Archives (TNA). A retention period of this length, or longer, will only be applied to a very small percentage of the information generated by the NHSBSA. Record types for permanent preservation will often include those of meetings of corporate leadership committees and groups.

**Litigation Holds:** These are outside the retention schedule but over-ride the retention period. If records are required, or are likely to be required, for litigation purposes, they should not be disposed of even if their destruction date has arrived. "Likely to be required" means that there is a strong possibility of specific legal action, rather than that the records are the type of record used in litigation. Litigation does not need to have started, it is sufficient that there are indicators of litigation.

**Closure period:** A specified period of time during which the record is subject to restrictions on provision of access to staff and/or the public may be dictated by statutory requirements or by the NHSBSA's policy. This usually refers to the record after it has been closed to active use or has been transferred to an archival body. Length of closure period varies depending on the reason for closure, e.g., personal records transferred to archival bodies are sometimes closed for 100 years after the date of birth, 70 years after the date of death, or (where the information is very sensitive) 100 years after the death of the last member of the subject's immediate family.

**Substantive Records / Correspondence:** The term 'substantive' covers documents, letters, memos, e-mails etc whose content contains significant information, such as a decisions, comments, instructions, approval or rejection, etc. Note that a short e-mail or even a signed sticky note saying 'Yes, this is OK' is substantive if it constitutes the only explicit decision or instruction on a given matter. Generally, substantive correspondence is retained for the same period and with the same retention period start date as the primary file, document or item to which it relates.

**Administrative Records / Correspondence:** The term 'administrative' in this context covers documents, letters, memos, e-mails etc whose content contains non-trivial but less significant information relating to the administration or organisation of business activities, meetings, events, information-gathering, etc.

Where the retention period for administrative records starts with the last related action / event, the chain of actions may refer to the immediate administrative task rather than to the file or process as a whole: e.g., a legal case could remain open for many years, but records of room bookings for a meeting about the case would have a retention period of 2 years after the meeting rather than 2 years after the closure of the case.

**Transitory Records:** Records of merely temporary or ephemeral value, such as purely facilitative routine material, duplicates preserved only for convenience, documents used for reference, background materials used to develop a record, etc.

The retention period for transitory records generally starts with the last related action / event. The chain of actions referred to in this case is the immediate limited purpose of the record rather than the file or process as a whole.

**Drafts and Versions:** These two terms have distinct meanings and different retention requirements. A draft is a work in progress, which has not yet been signed off or reached stable form. Drafts are still records, and where there is significant variation between drafts, they can be considered substantive. A version is a stable instantiation of a record subject to change over time, which constitutes the definitive record until superseded. Since the term 'version' is often applied to different draft stages, the file name of draft records should always include the word 'Draft' to differentiate it from approved, stable versions.

### Abbreviations used in this schedule:

NHS CoP = NHS Records Management Code of Practice  
JISC = Joint Information Systems Committee  
NHS IC = NHS Information Centre

PPD / Current = PPD Records Register / current practice  
TNA = The National Archives  
CIPD = Chartered Institute of Personnel and Development

## Corporate Functions and Activities

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Delivering Corporate Leadership</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
<b>Administering Corporate Groups / Meetings</b>	Final Agenda	20 years / Review	Date of meeting	NHS CoP
Administering Corporate Groups / Meetings	Signed minutes	20 years / Review	Date of meeting	NHS CoP
Administering Corporate Groups / Meetings	Papers submitted	20 years / Review	Date of meeting	NHS CoP
Administering Corporate Groups / Meetings	Office Diaries	1 year	Date of meeting	NHS CoP
Administering Corporate Groups / Meetings	Development and establishment of terms of reference, rules, and procedures for group / committee	20 years / Review	Establishment of group / committee	NHS CoP
Administering Corporate Groups / Meetings	Management Review reports	20 years / Review	Date of report	RM Advice
<b>Administering Professional Liaison (Lead)</b>	Final Agenda	20 years / Review	Date of meeting	NHS CoP
Administering Professional Liaison (Lead)	Signed Minutes	20 years / Review	Date of meeting	NHS CoP
Administering Professional Liaison (Lead)	Papers Submitted (BSA author)	20 years / Review	Date of meeting	NHS CoP
<b>Administering Professional Liaison (Attending)</b>	Final Agenda	While active	Date of meeting	RM Advice
Administering Professional Liaison (Attending)	Signed Minutes	While active	Date of meeting	RM Advice
Administering Professional Liaison (Attending)	Papers Submitted (BSA Author)	While active	Date of meeting	RM Advice

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Delivering Corporate Leadership</b>				
<b>Producing or Reviewing Policy Documents</b>	Reference Material (external)	While in use		RM Advice
Producing or Reviewing Policy Documents	Reference Material (internal) e.g. Performance Stats	While in use		RM Advice
Producing or Reviewing Policy Documents	Legal Advice	Till superseded / no longer being acted upon		RM Advice
Producing or Reviewing Policy Documents	Final Policy Document	10 years	Supersession	NHS CoP
Producing or Reviewing Policy Documents	Business Plans	20 years	Supersession	NHS CoP
Producing or Reviewing Policy Documents	Minutes	2 years	Date of meeting	NHS CoP
Producing or Reviewing Policy Documents	Agenda of meetings	2 years	Date of meeting	NHS CoP
Producing or Reviewing Policy Documents	Substantive Correspondence / File Notes / Memos	10 years	Supersession of policy	RM Advice
<b>Producing or Reviewing Strategy</b>	Reference Material (external)	While in use		RM Advice
Producing or Reviewing Strategy	Reference Material (internal) e.g. Performance Stats	While in use		RM Advice
Producing or Reviewing Strategy	Optional: Index or table of contents	20 years / Review		RM Advice
Producing or Reviewing Strategy	Legal Advice	5 years	Supersession	RM Advice
Producing or Reviewing Strategy	Final Document	10 years	Supersession	NHS CoP
Producing or Reviewing Strategy	Business Plans	20 years	Supersession	NHS CoP
Producing or Reviewing Strategy	Minutes	2 years	Date of meeting	NHS CoP
Producing or Reviewing Strategy	Agenda of meetings	2 years	Date of meeting	NHS CoP
Producing or Reviewing Strategy	Substantive Correspondence / File Notes / Memos	10 years	Supersession of strategy	RM Advice
<b>Producing or Reviewing Procedures</b>	Reference Material (internal) e.g. Performance Stats	2 years	Last related action / event	NHS CoP
Producing or Reviewing Procedures	Optional: Index or table of contents	20 years / Review		RM Advice
Producing or Reviewing Procedures	Legal Advice	Till superseded		RM Advice

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Delivering Corporate Leadership</b>				
Producing or Reviewing Procedures	Final Procedures Document / Manual	10 years	Supersession	NHS CoP
Producing or Reviewing Procedures	Minutes	2 years	Date of meeting	NHS CoP
Producing or Reviewing Procedures	Agenda of meetings	2 years	Date of meeting	NHS CoP
Producing or Reviewing Procedures	Substantive Correspondence / File Notes / Memos	10 years	Supersession of procedures	RM Advice
Producing or Reviewing Procedures	Template documents	-	Supersession	RM Advice
<b>Managing Risk</b>	<b>Business Continuity Planning</b>			
Managing Risk > Business Continuity Planning	Business Recovery Plan (incl. developmental records)	5 years	Supersession	JISC
Managing Risk > Identifying and Assessing Risk	<b>Identifying and Assessing Risk</b>			
Managing Risk > Identifying and Assessing Risk	Risk Register	1 year	Supersession	JISC
Managing Risk > Identifying and Assessing Risk	Legal Advice	5 years	Supersession	JISC
Managing Risk > Identifying and Assessing Risk	Risk Management Requirements / Specifications	6 years	Supersession	JISC
Managing Risk > Identifying and Assessing Risk	Technical Requirements	3 years	Supersession	RM Advice
Managing Risk > Identifying and Assessing Risk	Specialist Advice (non-Legal)	3 years	Supersession	RM Advice
Managing Risk > Identifying and Assessing Risk	Risk Management Procedures (incl. developmental records)	3 years	Supersession	TNA
Managing Risk > Identifying and Assessing Risk	Substantive correspondence / file notes / memos	3 years	Supersession of related document	RM Advice
Managing Risk > Identifying and Assessing Risk	Health & Safety Risk Assessment	3 years	Supersession	NHS CoP
Managing Risk > Identifying and Assessing Risk	Data extracts	1 year	Date of related document	JISC

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Delivering Corporate Leadership</b>				
Managing Risk > Identifying and Assessing Risk	Questionnaires	1 year	Date of related document	JISC
Managing Risk > Identifying and Assessing Risk	Analysis of Risk	3 years	Supersession	JISC
Managing Risk > Identifying and Assessing Risk	Reporting Risk	3 years	Supersession	JISC
<b>Managing Government / Parliamentary Relations</b>	<b>Responding to Parliamentary Questions</b>			
Managing Government / Parliamentary Relations > Responding to Parliamentary Questions	Question	10 years	Date of response	NHS CoP
Managing Government / Parliamentary Relations > Responding to Parliamentary Questions	Research	10 years	Date of response	NHS CoP
Managing Government / Parliamentary Relations > Responding to Parliamentary Questions	Response	10 years	Date of response	NHS CoP
Managing Government / Parliamentary Relations > Reporting to Government Bodies	<b>Reporting to Government Bodies</b>			
Managing Government / Parliamentary Relations > Reporting to Government Bodies	Report	3 years	Date report submitted	JISC
Managing Government / Parliamentary Relations > Reporting to Government Bodies	Substantive Correspondence / File Notes / Memos	3 years	Date report submitted	RM advice
Managing Government / Parliamentary Relations > Participating in Formal Inquiries	<b>Participating in Formal Inquiries</b>			
Managing Government / Parliamentary Relations > Participating in Formal Inquiries	All final substantive documents and communications	10 years	Last action on inquiry	JISC
<b>Managing Financial Provisions</b>	Budget Setting	6 years	End of relevant year	PPD / Current
Managing Financial Provisions	Mid Term Review	6 years	End of relevant year	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Delivering Corporate Leadership</b>				
Managing Financial Provisions	Budget Statements	6 years	End of relevant year	PPD / Current
Managing Financial Provisions	External Agency Budget Statements	6 years	End of relevant year	PPD / Current
Managing Financial Provisions	Directorate Analysis	6 years	Supersession	PPD / Current
Managing Financial Provisions	MA Funding Seconded	6 years	End of relevant year	PPD / Current
Managing Financial Provisions	Cash Limits	6 years	End of relevant year	PPD / Current
Managing Financial Provisions	Authority Reports Working Papers	6 years	Supersession	PPD / Current
Managing Financial Provisions	Costing Model	6 years	Supersession	PPD / Current
Managing Financial Provisions	Costing Exercise	6 years	Supersession	PPD / Current
Managing Financial Provisions	Cost Accounts	3 years	End of relevant year	NHS CoP
Managing Financial Provisions	Positive Predictive Value performance indicators	3 years	End of relevant year	NHS CoP
Managing Financial Provisions	Private Finance Initiatives	20 years / Review	End of contract	NHS CoP
<b>Managing Specialist Information</b>	<b>Drug Tariff Records</b>			
Managing Specialist Information > Drug Tariff Records	Drug Tariffs	20 years / Review	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Drug Tariff Source Documents including Authorisation to Issue (Determination)	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Drug Tariff Invoice spreadsheet	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Drug Tariff Costing spreadsheet	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Drug Tariff Schedule	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Drug Tariff Amendment Log	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Drug Tariff Distribution List Amendments	6 months	End of relevant month / year	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Delivering Corporate Leadership</b>				
Managing Specialist Information > Drug Tariff Records	Chemical Reagent Self Declaration Form	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	GDP Figures spreadsheet	20 years / Review	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Price Increase Confirmation Letter	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Price Increase Monthly spreadsheet	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Monthly Sticky Label spreadsheet	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	DTP-DTW-L05 checklist	6 months	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Drug Tariff Invoice copy	6 months	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Drug Tariff Changes – DOH	6 months	End of relevant month / year	RM Advice
Managing Specialist Information > Drug Tariff Records	Customer Surveys from Mekon	2 years	Date of survey	NHS CoP
Managing Specialist Information > Drug Tariff Records	Drug Tariff Amendment Emails	6 months	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Data Requests	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Memoranda	20 years / Review	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Part VIII Source Documents	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Manufacturer Phone Call Sheets	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Manufacturer Correspondence	2 years	End of relevant month / year	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Delivering Corporate Leadership</b>				
Managing Specialist Information > Drug Tariff Records	Amended Basket Lists	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Basket lists	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Part VIII Calculation Spreadsheet	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	V Drive Data	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	NCSO Record Sheets	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Record of Monthly Amendments CHP F08	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Part VIII Working Sheet	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Part IX applications spreadsheet	20 years / Review	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Part IX application folders	5 years	End of relevant month / year	PPD / Department of Health
Managing Specialist Information > Drug Tariff Records	Manufacturers Registry	20 years / Review	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Statistics for the ABHI & DH	3 years	Date produced	NHS CoP
Managing Specialist Information > Drug Tariff Records	Application meeting Statistics	2 years	Date of meeting	PPD / Current
Managing Specialist Information > Drug Tariff Records	Minutes from Application meetings	2 years	Date of meeting	PPD / Current
Managing Specialist Information > Drug Tariff Records	Part VIII Proformas	2 years	End of relevant month / year	PPD / Current



Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Delivering Corporate Leadership</b>				
Managing Specialist Information > Drug Tariff Records	Correspondence to and from DH / PSNC re Part VIII	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > Drug Tariff Records	Summary of Proposals spreadsheet	5 years	End of relevant month / year	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	<b>MDR Drug &amp; Appliance Database</b>			
Managing Specialist Information > MDR Drug & Appliance Database	Code Requests	1 month	End of relevant month / year	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Daily Audit Prints	1 month	End of relevant month / year	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Version Changes Folder – Hard Copies	5 years	End of relevant month / year	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	ATC Codes	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Unspecified Code Requests – (Spreadsheets)	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Monthly Amendments (all)	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Work Packages (Spreadsheets)	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Monthly Description Changes (Spreadsheet)	2 years	End of relevant month / year	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Version Changes	5 years	End of relevant month / year	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	DT Additions	20 years / Review	End of relevant month / year	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Jan–Dec Drug Tariff Updates (separate folders)	1 year	End of relevant month / year	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Delivering Corporate Leadership</b>				
Managing Specialist Information > MDR Drug & Appliance Database	<b>Reimbursement &amp; Remuneration Rules</b>			PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Working Sheets	1 year	Last related action / event	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Legislation folders	while in use		RM Advice
Managing Specialist Information > MDR Drug & Appliance Database	Products where discount is not deducted saves to CD	20 years / Review	End of relevant month / year	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Manuals – current info	10 years	Supersession	NHS CoP
Managing Specialist Information > MDR Drug & Appliance Database	Manuals – archive	Assess for archival value		NHS CoP
Managing Specialist Information > MDR Drug & Appliance Database	Amendment Board version tracking	5 years	Last related action / event	RM Advice
Managing Specialist Information > MDR Drug & Appliance Database	Sending amendments to print (admin documents)	2 years	Last related action / event	RM Advice
Managing Specialist Information > MDR Drug & Appliance Database	Sending late amendments (admin documents)	2 years	Last related action / event	RM Advice
Managing Specialist Information > MDR Drug & Appliance Database	Equipment Amendments Memoranda	3 years	Last related action / event	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	MDA guidance	Assess for archival value		PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	PF EQUIP Folder	3 y ears	Last related action / event	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Rules Definition	Assess for archival value		PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	TechnicalManuals	Assess for archival value		PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Trend data	1 year	Supersession	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Delivering Corporate Leadership</b>				
Managing Specialist Information > MDR Drug & Appliance Database	Equipment Folder	1 year	Last related action / event	PPD / Current
Managing Specialist Information > MDR Drug & Appliance Database	Regulation & Policy	Assess for archival value	Date of relevant document	PPD / Current
<b>Providing Specialist Information</b>	Systems Information	up to 6 years		
<b>Analysis and Research</b>	Analysis / reports	20 years / Review	Supersession	PPD / Current
<b>Managing Projects</b>	Project proposals (accepted)	10 years	Project completion date	TNA
Managing Projects	Project proposals (rejected or deferred)	5 years	Project completion date	TNA
Managing Projects	Project Initiation Document	10 years	Project completion date	TNA
Managing Projects	Supporting documentation / business cases	10 years	Project completion date	TNA
Managing Projects	Feasibility studies	10 years	Project completion date	TNA
Managing Projects	Project Meeting minutes	5 years	Project completion date	TNA
Managing Projects	Final Technical / Specialist records (plans, specifications, requirements)	10 years	Project completion date	TNA
Managing Projects	Proposed / draft Technical / Specialist records (plans, specifications, requirements)	5 years	Project completion date	TNA
Managing Projects	Project Correspondence (substantive)	5 years	Project completion date	TNA
Managing Projects	Process maps	5 years	Project completion date	TNA
Managing Projects	Presentations	5 years	Project completion date	TNA
Managing Projects	Reference material	2 years	Project completion date	TNA
Managing Projects	Records of projects costing <£100k	2 years	Project completion date	NHS CoP
<b>Managing Corporate Performance</b>	<b>Managing Operational Performance</b>			
Managing Corporate Performance > Managing Operational Performance	Performance monitoring and analysis	1 year	End of relevant year	JISC

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Delivering Corporate Leadership</b>				
Managing Corporate Performance > Managing Strategic Performance	<b>Managing Strategic Performance</b>			
Managing Corporate Performance > Managing Strategic Performance	Performance data and analysis	5 years	End of relevant year	JISC
Managing Corporate Performance > Managing Strategic Performance	Reports	10 years	End of relevant year	JISC
Managing Corporate Performance > Managing Strategic Performance	Key Performance Indicators	-	Supersession	JISC
Managing Corporate Performance > Managing Strategic Performance	Benchmarking exercises	1 year	End of relevant year	JISC
<b>Managing Corporate Planning</b>	<b>Managing Operational Planning</b>			
Managing Corporate Planning > Managing Operational Planning	All final substantive documents and communications	5 years	End of relevant year	JISC
Managing Corporate Planning > Managing Strategic Planning	<b>Managing Strategic Planning</b>			
Managing Corporate Planning > Managing Strategic Planning	All final substantive documents and communications	10 years	Supersession	JISC
<b>Restructuring Organisation</b>	All final substantive documents and communications	5 years	Last related action / event	JISC

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
<b>All Activities</b>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<b>All Activities</b>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<b>All Activities</b>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
<b>Line-Managing Staff Members</b>	<b>Managing Performance</b>			
Line-Managing Staff Members > Managing Performance	1:1 meeting - Minutes / notes / action plans arising	3 years	Supersession / End of relevant year	JISC
Line-Managing Staff Members > Managing Performance	Skill Profile (appraisals - ongoing)	6 years	End of relevant year	RM advice
Line-Managing Staff Members > Managing Performance	Skill Profile (appraisals - final)	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC
Line-Managing Staff Members > Managing Performance	Staff appraisal: All records apart from agreed / summary document	3 years	Supersession	RM advice / JISC
Line-Managing Staff Members > Managing Performance	Staff appraisal: Agreed outcomes / objectives form signed by appraisee	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS CoP Assumed covered under Major Records
Line-Managing Staff Members > Managing Performance	Probation records	3 years	End of probationary period	RM advice / JISC
Line-Managing Staff Members > Managing Performance	Personal development and performance plans	3 years	Supersession	RM advice
Line-Managing Staff Members > Managing Performance	Individual time-keeping records (time sheets, flexi-sheets, clock cards, adjustments etc) where information has been transferred to master record	6 months	Date of record	NHS CoP PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Line-Managing Staff Members > Managing Performance	Individual duty roster	2 years	End of relevant year	NHS CoP
Line-Managing Staff Members > Managing Performance	Variation of Hours	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC
Line-Managing Staff Members > Managing Performance	Working Time / Working Time Opt-out (personal records)	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC
Line-Managing Staff Members > Managing Performance	Casual / OT / Additional Hours records	2 years	End of relevant year	Staffordshire CC
Line-Managing Staff Members > Managing Staff Record	<b>Managing Staff Record</b>			
Line-Managing Staff Members > Managing Staff Record	<a href="#">Leaver's File</a>	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS CoP
Line-Managing Staff Members > Managing Staff Record	HR Database	See comment	See comment	
Line-Managing Staff Members > Managing Staff Record	Leave - Annual leave	2 years	End of relevant year	NHS CoP
Line-Managing Staff Members > Managing Staff Record	Leave - Study leave	5 years	End of relevant year	NHS CoP
Line-Managing Staff Members > Managing Staff Record	Leave - Special and personal leave (e.g. compassionate leave, time off for emergencies)	2 years	End of relevant year	Staffordshire CC
Line-Managing Staff Members > Managing Staff Record	Leave - Public & Extraneous Duties	2 years	End of relevant year	Staffordshire CC

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Line-Managing Staff Members > Managing Staff Record	Leave - Unpaid leave	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC
Line-Managing Staff Members > Managing Staff Record	Leave - Parental / Maternity / Adoption (non-disabled child)	5 years	Date of birth / adoption	NHS IC / TNA
Line-Managing Staff Members > Managing Staff Record	Leave - Parental / Maternity / Adoption (disabled child)	18 years	Date of birth / adoption	NHS IC
Line-Managing Staff Members > Managing Staff Record	Sick Leave: Self Certificates (not industrial injury)	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / Staffordshire CC
Line-Managing Staff Members > Managing Staff Record	Sick Leave: Doctors' Certificates	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / Staffordshire CC
Line-Managing Staff Members > Managing Staff Record	Sick Leave: Complete sickness/absence records showing dates & reasons	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC
Line-Managing Staff Members > Managing Staff Record	Sick Leave: Administrative records	2 years	End of relevant year	RM advice
Line-Managing Staff Members > Managing Staff Record	Sick Leave: Statutory Sick Pay records and calculations	3 years	End of relevant tax year	CIPD
Line-Managing Staff Members > Managing Staff Record	Medical: Health declaration and clearance records	LATER OF: 6 years OR 70 years	termination OR Date of birth	Staffordshire CC
Line-Managing Staff Members > Managing Staff Record	Medical: Referrals	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / Staffordshire CC

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Line-Managing Staff Members > Managing Staff Record	Medical: Reports	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / Staffordshire CC
Line-Managing Staff Members > Managing Staff Record	Health: Personal Risk Assessments	LATER OF: 6 years OR 70 years	termination OR Date of birth	LGRCS
Line-Managing Staff Members > Managing Staff Record	Health: Adjustment to workplace / Restrictions / Recommendations	LATER OF: 6 years OR 70 years	termination OR Date of birth	RM advice
Line-Managing Staff Members > Managing Staff Record	Health: Employee case files for consultations other than health surveillance details	LATER OF: 6 years OR 70 years	termination OR Date of birth	RM advice
Line-Managing Staff Members > Managing Staff Record	Bank details (ongoing)	6 years	Supersession	RM advice
Line-Managing Staff Members > Managing Staff Record	Bank details (final)	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / Staffordshire CC
Line-Managing Staff Members > Managing Staff Record	Notification / change of personal details and circumstances (ongoing)	6 years	Supersession	RM advice
Line-Managing Staff Members > Managing Staff Record	Notification / change of personal details and circumstances (final)	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / Staffordshire CC
Line-Managing Staff Members > Managing Staff Record	Building society/bank references	6 months		NHS IC



Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Line-Managing Staff Members > Managing Staff Record	Start / Change / Finish notes - Consolidated job history	LATER OF: 6 years OR 70 years	termination OR Date of birth	PPD / Current
Line-Managing Staff Members > Managing Staff Record	Employment Contract	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS CoP NHS IC / JISC / LGRCS
Line-Managing Staff Members > Managing Staff Record	Terms & Conditions of service	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / JISC / LGRCS
Line-Managing Staff Members > Managing Staff Record	Job applications – internal	See comment	See comment	
Line-Managing Staff Members > Managing Staff Record	Transfer / secondment / re-deployment	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / LGRCS
Line-Managing Staff Members > Managing Staff Record	Previous service supporting papers	n/a	Date details noted on file / database	NHS IC
Line-Managing Staff Members > Managing Staff Record	Job evaluation (personal)	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / LGRCS
Line-Managing Staff Members > Managing Staff Record	Bonus nominations	6 years	End of relevant year	TNA
Line-Managing Staff Members > Managing Staff Record	Acting up / deputising / substitution	6 years	End of relevant year	PPD / Current TNA
Line-Managing Staff Members > Managing Staff Record	Discrimination complaints (formal and/or founded)	LATER OF: 6 years OR 70 years	termination OR Date of birth	RM advice

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Line-Managing Staff Members > Managing Staff Record	Discrimination complaints (informal and/or unfounded)	1 year	Closure of case	RM advice
Line-Managing Staff Members > Managing Staff Record	Grievances (formal and/or founded)	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / LGRCS
Line-Managing Staff Members > Managing Staff Record	Grievances (informal and/or unfounded)	1 year	Closure of case	RM advice
Line-Managing Staff Members > Managing Staff Record	Staff car-parking permits	3 years	Date of issue OR End of relevant year	NHS CoP
Line-Managing Staff Members > Managing Staff Record	Travel/subsistence claims and authorisation	6 years	End of relevant financial year	NHS IC
Line-Managing Staff Members > Managing Staff Record	Advance payments made to staff	6 years	Repayment	TNA
Line-Managing Staff Members > Managing Staff Record	Records relating to expiry / voluntary or involuntary termination of term of employment	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / JISC / LGRCS / RMS LGG / Staffordshire CC / CIPD
Line-Managing Staff Members > Managing Staff Record	References provided in support of employee's application for employment by another organisation	1 year	Provision of reference	JISC
Line-Managing Staff Members > Managing Staff Record	Declarations of pecuniary interests	LATER OF: 6 years OR 70 years	termination OR Date of birth	RMS LGG / LGRCS
Line-Managing Staff Members > Managing Staff Record	Registration authority forms	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS CoP
Line-Managing Staff Members	RTA claims (applicable?)	6 months		RM Advice

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
<b>Group Staff Management</b>	<b>Workforce Administration</b>			
Group Staff Management > Workforce Administration	Records documenting attendance / hours	2 years	Date of record OR End of relevant year	PPD / Current
Group Staff Management > Workforce Administration	Working Time Directive opt out records (collated / summary)	2 years	Date of Form	JISC
Group Staff Management > Workforce Administration	Individual time-keeping records (time sheets, flexi-sheets, clock cards, adjustments etc) where information has been transferred to master record	6 months	Date of record	NHS CoP PPD / Current
Group Staff Management > Workforce Administration	Annual Leave	2 years	End of relevant year	NHS CoP
Group Staff Management > Workforce Administration	Duty Rosters and shift rotas	4 years	Date of record OR End of relevant year	NHS CoP
Group Staff Management > Workforce Administration	Staff Contact Details	6 months	Supersession	RM Advice
Group Staff Management > Workforce Administration	Staff Contact Numbers	6 months	Supersession	RM Advice
Group Staff Management > Workforce Administration	Relationships with pension schemes	5 years	Termination of relationship	JISC
Group Staff Management > Workforce Administration	Routine communications with pension schemes	5 years	End of relevant year	JISC
Group Staff Management > Workforce Planning	<b>Workforce Planning</b>			
Group Staff Management > Workforce Planning	Workforce plan / assessment and analysis of workforce requirements	5 years	Supersession	RM Advice / JISC
Group Staff Management > Workforce Planning	Creation / deletion of posts	5 years	Deletion of post from establishment	RM Advice

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Group Staff Management > Workforce Planning	Job specifications and descriptions	5 years	Supersession	JISC
Group Staff Management > Workforce Planning	Job grading and evaluation	5 years	Deletion of post from establishment	RM Advice
Group Staff Management > Workforce Planning	Employment register	20 years / Review	Date of last entry	RM advice
Group Staff Management > Workforce Planning	Facts relating to redundancies	6 years	Date of last action	RM advice
Group Staff Management > Managing Remuneration	<b>Managing Remuneration</b>			
Group Staff Management > Managing Remuneration	Pay reviews	5 years	End of relevant year	JISC
Group Staff Management > Managing Remuneration	National Minimum Wage records	3 years	End of relevant pay reference period	CIPD
Group Staff Management > Complying with Equality Policy	<b>Complying with Equality Policy</b>			
Group Staff Management > Complying with Equality Policy	Equality and Diversity monitoring, including statistics and summaries	5 years	End of relevant year	JISC / Norfolk CC
Group Staff Management > Complying with Equality Policy	Annual reports on the implementation of Equality Schemes (Final)	5 years	End of relevant year	JISC
Group Staff Management > Complying with Equality Policy	Equal Opportunities: Equality Impact Assessment	5 years	Supersession	JISC
<b>Development of training content and programme</b>	Reports: Final	5 years	Supersession of current programme / course	JISC
Development of training content and programme	Minutes / notes	5 years	Supersession of current programme / course	JISC
Development of training content and programme	Summary information on workforce training and development needs.	5 years	End of relevant year	JISC

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Development of training content and programme	Correspondence: Substantive	5 years	Supersession of current programme / course	RM Advice
Development of training content and programme	Research / Reference	1 year	Supersession of current programme / course	RM Advice
Development of training content and programme	Course content and materials (H&S - noise, lead and asbestos): final	10 years	Supersession of current version of course	JISC
Development of training content and programme	Course content and materials (all other): final	5 years	Supersession / termination of course	JISC
Development of training content and programme	Employee Handbook: Final	5 years	Supersession	RM advice
Development of training content and programme	Health and Safety Information: First Aid	3 years	Supersession of current version of course	NHS CoP ('H&S Documentation') JISC
Development of training content and programme	Health and Safety Information: Fire-fighting and Fire Safety	5 years	Supersession of current version of course	JISC
Development of training content and programme	Health and Safety Information: Noise, Lead and Asbestos	10 years	Supersession of current version of course	JISC
<b>Provision of Training Programmes</b>	Training records: non-Health and Safety (course delivery file)	5 years	Completion of course	RM Advice
Provision of Training Programmes	Training records: Health and Safety - First Aid (course delivery file)	3 years	Completion of course	JISC
Provision of Training Programmes	Training records: Health and Safety - Fire-fighting and Fire Safety (course delivery file)	5 years	Completion of course	JISC
Provision of Training Programmes	Training records: Health and Safety - Employee Safety Representatives (course delivery file)	5 years	Completion of course	JISC
Provision of Training Programmes	Training records: Health and Safety - Workstation Use (course delivery file)	5 years	Completion of course	JISC
Provision of Training Programmes	Training records: Health and Safety - Noise, Lead and Asbestos (course delivery file)	10 years	Completion of course	JISC

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Provision of Training Programmes	Training records: Health and Safety - All other (course delivery file)	5 years	Completion of course	JISC
Provision of Training Programmes	Records documenting the administration of training programmes.	2 years	Completion of course	RM Advice
Provision of Training Programmes	Invitations to training events	2 years	Completion of course	RM Advice
Provision of Training Programmes	Course Bookings	2 years	Completion of course	RM Advice
Provision of Training Programmes	Course documentation	2 years	Completion of course	RM Advice
Provision of Training Programmes	Attendee information	2 years	Completion of course	RM Advice
Provision of Training Programmes	Room bookings	2 years	Completion of course	NHS CoP
Provision of Training Programmes	Presentations	2 years	Completion of course	NHS CoP
Provision of Training Programmes	Training plans (individual staff file)	2 years	Supersession	NHS CoP
Provision of Training Programmes	Employee training need analysis (individual staff file)	LATER OF: 6 years OR 70 years	termination OR Date of birth	RM Advice Derived from NHS CoP; backed by peer advice.
Provision of Training Programmes	Applications / Requests for training (individual staff file)	LATER OF: 6 years OR 70 years	termination OR Date of birth	RM Advice Derived from NHS CoP; backed by peer advice.
Provision of Training Programmes	Responses to training needs analysis / requests (individual staff file)	LATER OF: 6 years OR 70 years	termination OR Date of birth	RM Advice Derived from NHS CoP; backed by peer advice.
Provision of Training Programmes	Training records (individual staff file)	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS CoP / Staffordshire CC / CIPD

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Provision of Training Programmes	Exam / Assessment Results (individual staff file)	LATER OF: 6 years OR 70 years	termination OR Date of birth	RM Advice
Provision of Training Programmes	Exam / Assessment Results (course delivery file)	5 years	Completion of course	RM Advice
Provision of Training Programmes	Note of certificates / awards (individual staff file)	LATER OF: 6 years OR 70 years	termination OR Date of birth	Staffordshire CC
Provision of Training Programmes	Note of certificates / awards (course delivery file)	5 years	Completion of course	RM Advice
Provision of Training Programmes	Skills and competences matrix	-	Supersession	Norfolk CC
Provision of Training Programmes	NVQ candidate tracking	6 years	End of current year	Norfolk CC
Provision of Training Programmes	Training evaluation: individual forms	2 years	Date of course	
Provision of Training Programmes	Training evaluation: analysis / statistics	5 years	Date of course	JISC
<b>Managing Recruitment process</b>	Enquiries / unsolicited applications	1 year	Date of response / Receipt of application	JISC
Managing Recruitment process	Authority to recruit form	2 years		NHS CoP (implicitly – treat as administrative record)
Managing Recruitment process	Agreed job description	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / Staffordshire CC
Managing Recruitment process	Agreed person specification	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Managing Recruitment process	Agreed job advertisement	1 year	Appointment	NHS CoP / RMS LGG / Norfolk CC
Managing Recruitment process	<a href="#">Files for unsuccessful / unappointed applicants</a>	1 year	Appointment / End of year in which appointment was made	RM advice
Managing Recruitment process	Application forms / CVs (successful)	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / Staffordshire CC / JISC / Norfolk CC
Managing Recruitment process	CV: Non-executive Directors (successful)	5 years	End of term of office	NHS CoP
Managing Recruitment process	CV: Non-executive Directors (unsuccessful)	2 years	Date of response	NHS CoP
Managing Recruitment process	Equal Opportunity Monitoring Forms (successful candidates)	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS
Managing Recruitment process	Long / Short list of candidates	3 months	Appointment	PPD / Current
Managing Recruitment process	Interview questions / ideal answers	3 months	Appointment	PPD / Current
Managing Recruitment process	Notes taken at interview (successful candidate)	5 years	Appointment	Staffordshire CC
Managing Recruitment process	Psychometric Tests (successful candidate)	5 years	Appointment	Staffordshire CC
Managing Recruitment process	References (successful applicants)	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS CoP / JISC
Managing Recruitment process	Qualifications (successful applicants)	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC



Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Managing Recruitment process	Proof of ID / Right to Work (successful applicants)	LATER OF: 6 years OR 70 years	termination OR Date of birth	JISC / Staffordshire CC
Managing Recruitment process	Asylum / Immigration forms (successful applicants)	LATER OF: 6 years OR 70 years	termination OR Date of birth	JISC / Staffordshire CC
Managing Recruitment process	Letter of Appointment (accepted)	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS CoP / Staffordshire CC
Managing Recruitment process	Written Particulars of Job (accepted)	LATER OF: 6 years OR 70 years	termination OR Date of birth	RM advice
Managing Recruitment process	Letter of acceptance	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC
Managing Recruitment process	New Employee Form	LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC / Staffordshire CC / JISC
Managing Recruitment process	Administrative correspondence with applicants	2 years	Appointment	NHS CoP
Managing Recruitment process	Internal correspondence re applicants	2 years	Appointment	NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
<b>Managing Disciplinary Process</b>	Disciplinary action: Administration	1 year	Last action / date of meeting	NHSBSA Discipline Policy Section 7
Managing Disciplinary Process	Disciplinary action: Investigation papers	Staff personal file: 1 year	Last action / date of meeting	NHSBSA Discipline Policy Section 7
Managing Disciplinary Process	Disciplinary action: Investigation papers	Separate disciplinary file: LATER OF: 6 years OR 70 years	termination OR Date of birth	RM advice / NHS CoP
Managing Disciplinary Process	Disciplinary action: Substantive Correspondence	Staff personal file: 1 year	Last action / date of meeting	NHSBSA Discipline Policy Section 7
Managing Disciplinary Process	Disciplinary action: Substantive Correspondence	Separate disciplinary file: LATER OF: 6 years OR 70 years	termination OR Date of birth	RM advice / NHS CoP
Managing Disciplinary Process	Disciplinary action: Records of meetings	Staff personal file: 1 year	Last action / date of meeting	NHSBSA Discipline Policy Section 7
Managing Disciplinary Process	Disciplinary action: Records of meetings	Separate disciplinary file: LATER OF: 6 years OR 70 years	termination OR Date of birth	RM advice / NHS CoP
Managing Disciplinary Process	Disciplinary action: Outcome letter	Staff personal file: 1 year	Last action / date of meeting	NHSBSA Discipline Policy Section 7

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Managing Disciplinary Process	Disciplinary action: Outcome letter	Separate disciplinary file: LATER OF: 6 years OR 70 years	termination OR Date of birth	NHS IC
<b>Managing Health &amp; Safety Requirement</b>	<b>Managing Incidents</b>			
Managing Health & Safety Requirement > Managing Incidents	Accident Report Book (B1 510)	3 years	Last entry	NHS CoP
Managing Health & Safety Requirement > Managing Incidents	Accident Reports (injury, disease, dangerous occurrence): Adults	3 years	Last entry	NHS CoP / Staffordshire CC
Managing Health & Safety Requirement > Managing Incidents	Accident Reports (injury, disease, dangerous occurrence): Children	21 years	Date of Birth	Staffordshire CC
Managing Health & Safety Requirement > Managing Incidents	Accident Forms (litigious)	10 years	Last action	NHS CoP
Managing Health & Safety Requirement > Managing Incidents	Accident Register (RIDDOR)	10 years	Last entry	NHS CoP
Managing Health & Safety Requirement > Managing Incidents	Report of violent conduct at work	12 years	Date created	Staffordshire CC
Managing Health & Safety Requirement > Managing Incidents	Incident Forms and Files (Injury, disease, dangerous occurrence)	10 years	Last action on event	NHS CoP
Managing Health & Safety Requirement > Managing Incidents	Serious incident files	30 years	Last action on event	NHS CoP
Managing Health & Safety Requirement > Managing Incidents	Response to accidents, incidents and emergencies involving substances / agents hazardous to health	10 years	Last action on event	JISC
Managing Health & Safety Requirement > Managing Incidents	Investigation of Accidents, Dangerous Occurrences and Notifiable Diseases	40 years	Closure of investigation	Staffordshire CC JISC

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Managing Health & Safety Requirement > Managing Incidents	Exposure to asbestos letters, incident reports and air monitoring reports relating to exposure to asbestos incident	40 years	Date of issue	Norfolk CC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	<b>Managing and Monitoring Hazards</b>			
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Assessment / specification of requirements for first aid facilities and equipment	3 years	Supersession	NHS CoP Staffordshire CC JISC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Appointment of official first-aiders	-	Termination of Contract	Staffordshire CC Health and Safety (First Aid) regulations 1981
Managing Health & Safety Requirement > Managing and Monitoring Hazards	First Aid: List of First Aiders	-	Supersession	Staffordshire CC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Conduct, review and revision of fire safety risk assessments	5 years	Supersession	JISC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Assessment of requirements for fire-fighting systems and equipment	5 years	Review of assessment	Staffordshire CC JISC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Fire log book	4 years	Last entry date	Norfolk CC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Fire evacuation reports		Supersession	Staffordshire CC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Fire safety arrangements / fire drills	5 years		JISC

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Nomination / appointment of Fire Wardens and 'Competent Persons'	-	Termination of Status	Staffordshire CC Fire Precautions (Workplace) Regulations 1997 Management of Health & Safety At Work Regulations 1999 JISC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Arrangements with external emergency services	5 years	Supersession	Staffordshire CC JISC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Fire certificate	3 years	Date modified	Staffordshire CC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	COSHH reports	5 years	Date of report	NHS CoP
Managing Health & Safety Requirement > Managing and Monitoring Hazards	RIDDOR notification to HSE	12 years	Date created	Staffordshire CC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Notification of Hazard	12 years	Date closed	Staffordshire CC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Records documenting notifications to enforcing authorities of proposed work with asbestos, to fulfil the institution's duties under Regulation 9 of the Control of Asbestos Regulations 2006 (SI 2006/2739).	10 years	Duration of work	JISC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	General monitoring for exposure to substances and agents hazardous to health	5 years	Date of sampling / report	NHS CoP / Norfolk CC / Staffordshire CC / JISC

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Monitoring of personal exposure to substances and agents hazardous to health	40 years	Date of sampling / report	Norfolk CC / Staffordshire CC / JISC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Inspection and testing of plant, equipment and machinery for Health and Safety purposes	5 years	Date of inspection / test	Norfolk CC Staffordshire CC CIPD
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Site and safety inspections (including inspections by relevant appointed / delegated persons)	5 years	Date of inspection / test	Staffordshire CC JISC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Assessments / risk assessments of dangers to health and safety in the workplace	5 years	Supersession	RM advice, based on differing public-sector approaches.
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Vision Screening Test results	3 months		PPD / Current
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Work Environment / Health and Safety Audit	5 years	Completion of audit	JISC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Medical Surveillance of staff exposed to hazardous substances and agents	40 years	Last entry	JISC / Staff CC / Norfolk CC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Medical records / reports of those exposed to hazardous substances or agents	40 years	Last entry	JISC / TNA / Staff CC / CIPD
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Employer's copies of certificates of medical examinations of those exposed to asbestos	4 years	Date of certificate	JISC / CIPD
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Special Waste Consignment Note	3 years	Removal of consignment	NHS CoP / JISC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Health & Safety Reports (Management)	3 years		NHS CoP ('Health and Safety Documentation')

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Human resources (excl. Pensions)</b>				
Managing Health & Safety Requirement > Managing and Monitoring Hazards	H&S Log books / equipment log books not included under other categories	3 years	Last entry / Life of equipment	NHS CoP ('Health and Safety Documentation') Staffordshire CC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Records of issue of protective or special clothing / equipment	6 years	Termination	Staffordshire CC / JISC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Plans and information for accidents, incidents and emergencies related substances / agents hazardous to health	10 years	Supersession	JISC
Managing Health & Safety Requirement > Managing and Monitoring Hazards	Written plans of work for undertaking work with asbestos	5 years	Completion of work	Staffordshire CC / JISC

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Finance</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
<b>Managing Financial Transactions: Payments Out</b>	Invoices	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	BACS payments	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Bills	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Cleared Cheques	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Receipts	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Cash books	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Cash Sheets	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Income journals	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Expenditure Journals (sheets?)	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Nominal Rolls	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Demand notes	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	VAT Records	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Tax forms	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Cheque payments	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	AEO schedule	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	BACS Audit print	CoP recommends 2 years for audit?		NHS CoP



Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Finance</b>				
Managing Financial Transactions: Payments Out	List of SSP (AP12LP1)	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Statement of allowances (AP09ALLOWS)	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Authority file update	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Initial vet (NP003)	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Correction vet	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Arrears schedule	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Cash list	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Uncrossed cheque list	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Paylist	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Petty cash claims	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Travel requests	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Travel warrants applications	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Fraud refunds to Clients Requests	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Purchase Order	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Car hire – Insurance Documents	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Car hire – Journey Analysis Report	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Car hire – Petrol Card	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Car Hire Documents	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Travel Request Forms	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Payment creation error report (NP004)	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Arrears Report Print	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Expense Claims	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out	Claims authorizations	5 years	Date of authorization	NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Finance</b>				
Managing Financial Transactions: Payments Out	Out of course payments	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Profit element of expenses	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Charges in respect of personal calls on mobile phones	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Performance Measurement	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Cancellation of de-option	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Tax Credits—current	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Tax Credits—ceased	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Student loans	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Certificates of reduced liability & age exemption	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Staff transfer form	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Requests for personal data	3 years	Last related action / event	NHS CoP
Managing Financial Transactions: Payments Out				
Managing Financial Transactions: Payments Out	BACS input report	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Compensation payments	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Batch prep spreadsheets	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	RTA claims	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Diary messages (SP02)	End of relevant year	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out	Creditor payment	3 years	Date of payment	NHS CoP
Managing Financial Transactions: Payments Out > Administering Payroll	<b>Administering Payroll</b>			
Managing Financial Transactions: Payments Out > Administering Payroll	Payroll print (NP012PPROLL)	6 years	End of relevant year	After year end

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Finance</b>				
Managing Financial Transactions: Payments Out > Administering Payroll	Payroll control totals (NP012-PTOTS)	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	PAYE records	6 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out > Administering Payroll	Salaries	10 years	End of relevant year	NHS CoP
Managing Financial Transactions: Payments Out > Administering Payroll	Attachment of Earnings Orders	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	Long hours gratuity claim	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	Additional Hours	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	% allowance on additional shifts	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	Bank holiday working for full time staff	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	Individual late night allowance claim	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	Divisional late night allowance claim	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	Ancillary Timesheets	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	Bonus Report	2 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	Payroll control report (NP022)	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	SP1 personal record	20 years / Review		PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Finance</b>				
Managing Financial Transactions: Payments Out > Administering Payroll	Absence Report	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	Claim for on-call duty payment	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	Claim for call out payment	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	Maternity forms	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	P45 part 2	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	P6(T) (personal allowance tax code change)	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Payroll	P9(T) (change in tax code)	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Pension Contributions	<b>Administering Pension Contributions</b>			
Managing Financial Transactions: Payments Out > Administering Pension Contributions	SD502 (pension opt out )	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Pension Contributions	Pension – combined print (NP271PR)	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Pension Contributions	Cumulative print (NP220CUMSUM)	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Pension Contributions	Money Purchase AVC contracts	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Pension Contributions	Added years AVC contracts	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Pension Contributions	Application for retirement benefits	6 years	End of relevant year	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Finance</b>				
Managing Financial Transactions: Payments Out > Administering Pension Contributions	Applications for injury benefits	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Pension Contributions	Pensions review	6 years	End of relevant year	PPD / Current
Managing Financial Transactions: Payments Out > Administering Trade Union Subscriptions	<b>Administering Trade Union Subscriptions</b>			
Managing Financial Transactions: Payments Out > Administering Trade Union Subscriptions	Trade unions subs	6 years	End of relevant year	PPD / Current
<b>Managing Financial Reporting</b>	Pass books	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Paying-in slips	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Cheque Counterfoils	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Cancelled / discharged cheques	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Petty Cash expenditure accounts	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Travel accounts	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Subsistence accounts	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Minor vouchers	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Duplicate receipt books	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Income records	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Payment advice notes		End of relevant year	
Managing Financial Reporting	Bank statements	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Capital charges data	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Budgets (including virements, working papers, reviews reports, journal request forms, journals)	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Budget Monitoring spreadsheets	6 years	End of relevant year	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Finance</b>				
Managing Financial Reporting	Journal Request Forms	6 years	End of relevant year	PPD / Current
Managing Financial Reporting	Cleared Debtors records	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Uncleared Debtors Records	6 years	End of relevant year	NHS CoP
Managing Financial Reporting	Excess Fares	2 years	End of relevant year	NHS CoP
Managing Financial Reporting	Staff – Overtime Report	6 years	End of relevant year	PPD / Current
Managing Financial Reporting	Journey Analysis reports	6 years	End of relevant year	PPD / Current
Managing Financial Reporting	Franking machine reports	6 years	End of relevant year	PPD / Current
Managing Financial Reporting	PPC Reports–Hexagon Reports, Lodgement Slips, Cheque & Postal Order Reports	6 years	End of relevant year	PPD / Current
Managing Financial Reporting	Refunds Schedules, Payable Orders and Revocation Schedules and Request Spreadsheets	6 years	End of relevant year	PPD / Current
Managing Financial Reporting	Chargeback information	6 years	End of relevant year	PPD / Current
Managing Financial Reporting	Pharmacy Reward Scheme form	6 years	End of relevant year	PPD / Current
Managing Financial Reporting	Pension – joiners report	6 years	End of relevant year	PPD / Current
Managing Financial Reporting	P35 Print (feasibility report)	6 years	End of relevant year	PPD / Current
Managing Financial Reporting	Ledgers [is a Purchase Ledger Different?]	6 years	End of relevant year	PPD / Current
Managing Financial Reporting	Salaries – Timesheets (incl Bonus Sheets)	6 years	End of relevant year	PPD / Current
Managing Financial Reporting	Paylist analysis	6 years	End of relevant year	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Governance</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
<b>Responding to Internal or External Enquiries (other than FOI / DPA / EIR)</b>	Written response	2 years	Last related action / event	NHS CoP
<b>Managing Response to Complaints</b>	Written Complaint	8 years	Last related action / event	NHS CoP
Managing Response to Complaints	Acknowledgement Letter	8 years	Last related action / event	NHS CoP
Managing Response to Complaints	Records of Internal Investigation (incl. e-mails)	8 years	Last related action / event	NHS CoP
Managing Response to Complaints	Summary of Investigation	8 years	Last related action / event	NHS CoP
Managing Response to Complaints	Draft Response	8 years	Last related action / event	NHS CoP
Managing Response to Complaints	Final Response	8 years	Last related action / event	NHS CoP
Managing Response to Complaints	Letter of Appeal	8 years	Last related action / event	RM Advice
Managing Response to Complaints	Appeal Investigation	8 years	Last related action / event	RM Advice
Managing Response to Complaints	Draft Response	8 years	Last related action / event	RM Advice
Managing Response to Complaints	Final Response	8 years	Last related action / event	RM Advice
Managing Response to Complaints	Log sheet for customer complaints	2 years	End of relevant financial year	PPD / Current
Managing Response to Complaints	Call Centre Audio records	6 months	Last related action / event	RM Advice
<b>Managing Quality Assurance</b>	<b>Maintaining Compliance</b>			
Managing Quality Assurance > Maintaining Compliance	Individual output record	15 months	End of relevant period	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Governance</b>				
Managing Quality Assurance > Maintaining Compliance	Correspondence Checks	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Assessment Checks	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Telephone conversations	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Log of second line check	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Recorded Delivery Received Record	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Registration Departmental Outputs	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Individual Error log	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	MIS error log	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Secure Destruction Log	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Daily Work Record	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Individual Statistics Sheet	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Section Output Spreadsheet	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Lodgement Checking Sheet	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Data Input Checking Sheet	15 months	End of relevant period	PPD / Current



Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Governance</b>				
Managing Quality Assurance > Maintaining Compliance	Processor Error Records	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Lodgement Printouts	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Assessment Staff Performance Spreadsheets	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Record of Correspondence Checks	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Correspondence Checking Report	15 months	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Recording of telephone calls used for training and quality	6 months	Date of assessment / check	RM Advice
Managing Quality Assurance > Maintaining Compliance	Complaints Log	2 years	End of relevant period	PPD / Current
Managing Quality Assurance > Maintaining Compliance	Production Records – Performance Statistics	6 years	End of relevant year	PPD / Current
Managing Quality Assurance > Maintaining Compliance	System Status Prints	6 months	End of relevant period	PPD / Current
<b>Managing Information Compliance</b>	<b>Responding to requests for information: FOIA</b>			
Managing Information Compliance > Responding to requests for information: FOIA	Final Response and Decision (Full Disclosure)	3 years	Last related action / event	NHS CoP
Managing Information Compliance > Responding to requests for information: FOIA	Final Response and Decision (Withheld or Redacted)	3 years	Last related action / event	Departure from NHS CoP
Managing Information Compliance > Responding to requests for information: FOIA	Request for Information	3 years	Last related action / event	Departure from NHS CoP
Managing Information Compliance > Responding to requests for information: FOIA	Internal administrative correspondence	3 years	Last related action / event	Departure from NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Governance</b>				
Managing Information Compliance > Responding to requests for information: FOIA	Request for Clarification	3 years	Last related action / event	Departure from NHS CoP
Managing Information Compliance > Responding to requests for information: FOIA	Disclosure decisions	3 years	Last related action / event	Departure from NHS CoP
Managing Information Compliance > Responding to requests for information: FOIA	Request for Payment	3 years	Last related action / event	Departure from NHS CoP
Managing Information Compliance > Responding to requests for information: FOIA	Appeal	3 years	Last related action / event	Departure from NHS CoP
Managing Information Compliance > Responding to requests for information: FOIA	Internal Appeals administration correspondence	3 years	Last related action / event	Departure from NHS CoP
Managing Information Compliance > Responding to requests for information: FOIA	Appeal Decision	3 years	Last related action / event	Departure from NHS CoP
Managing Information Compliance > Responding to requests for information: FOIA	Reports and Statistical data	6 years	End of relevant year	Departure from NHS CoP
Managing Information Compliance > Responding to requests for information: DPA	<b>Responding to requests for information: DPA</b>			
Managing Information Compliance > Responding to requests for information: DPA	Request for personal information	3 years	Last related action / event	NHS CoP
Managing Information Compliance > Responding to requests for information: DPA	Acknowledgement / request for proof of ID	3 years	Last related action / event	NHS CoP
Managing Information Compliance > Responding to requests for information: DPA	Proof of ID	3 years	Last related action / event	NHS CoP
Managing Information Compliance > Responding to requests for information: DPA	Disclosure decision	3 years	Last related action / event	NHS CoP
Managing Information Compliance > Responding to requests for information: DPA	Final Response and Decision (Full Disclosure)	3 years	Last related action / event	NHS CoP
Managing Information Compliance > Responding to requests for information: DPA	Final Response and Decision (Withheld or Redacted)	10 years	Last related action / event	NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Governance</b>				
Managing Information Compliance > Responding to requests for information: DPA	Appeal	3 years	Last related action / event	NHS CoP
Managing Information Compliance > Responding to requests for information: DPA	Appeal Decisions	3 years	Last related action / event	NHS CoP
Managing Information Compliance > Responding to requests for information: DPA	Final Response and Decision (Full Disclosure)	3 years	Last related action / event	NHS CoP
Managing Information Compliance > Responding to requests for information: DPA	Final Response and Decision (Withheld or Redacted)	3 years	Last related action / event	Departure from NHS CoP
Managing Information Compliance > Responding to requests for information: DPA	Reports and Statistical Data	6 years	End of relevant year	NHS CoP
Managing Information Compliance > Maintaining Registration as a Data Controller	<b>Maintaining Registration as a Data Controller</b>			
Managing Information Compliance > Maintaining Registration as a Data Controller	Registration Form	1 year	End of relevant year	RM Advice
Managing Information Compliance > Maintaining Registration as a Data Controller	Review of Terms of Collection or Use	-	Supersession	RM Advice
Managing Information Compliance > Maintaining Registration as a Data Controller	Letter of Confirmation	1 year	Expiry of registration	RM Advice
<b>Facilitating Audit</b>	Substantive Correspondence	3 years	Last related action / event	RM Advice
Facilitating Audit	Audit Plans	2 years	Last related action / event	NHS CoP
Facilitating Audit	Audit Reports	3 years	Supersession	NHS CoP
Facilitating Audit	Management Letters	2 years	Last related action / event	NHS CoP
Facilitating Audit	Value for Money Reports	2 years	Supersession	NHS CoP
Facilitating Audit	Final Accounts Memorandum	2 years	End of relevant year	NHS CoP
Facilitating Audit	Quality Assurance Records	12 Years	Supersession	NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Governance</b>				
<b>Managing Audit</b> (records <i>created</i> by audit function)	Internal Quality Audit checklist	2 years	Supersession	NHS CoP
Managing Audit (records <i>created</i> by audit function)	Internal Quality Audit initiation	2 years	Supersession	NHS CoP
Managing Audit (records <i>created</i> by audit function)	Internal Quality Audit findings	2 years	Supersession	NHS CoP
Managing Audit (records <i>created</i> by audit function)	Quality plan	2 years	Supersession	NHS CoP
Managing Audit (records <i>created</i> by audit function)	Operational Plan	2 years	Supersession	NHS CoP
Managing Audit (records <i>created</i> by audit function)	Strategic Plan	2 years	Supersession	NHS CoP
Managing Audit (records <i>created</i> by audit function)	Substantive Correspondence (management / consultancy / advice)	3 years	Supersession of audit report	RM Advice
Managing Audit (records <i>created</i> by audit function)	Monthly General Audit Time Analysis	2 years	Date of audit	NHS CoP
Managing Audit (records <i>created</i> by audit function)	Audit Terms of Reference	2 years	Supersession of audit report	NHS CoP
Managing Audit (records <i>created</i> by audit function)	Audit logs	2 years	Supersession of audit report	NHS CoP
Managing Audit (records <i>created</i> by audit function)	Audit Reports	3 years	Supersession	NHS CoP
Managing Audit (records <i>created</i> by audit function)	Statistics	6 years	Supersession	NHS CoP
Managing Audit (records <i>created</i> by audit function)	Working papers	2 years	Supersession of audit report	NHS CoP
Managing Audit (records <i>created</i> by audit function)	Gap Analysis	2 years	Supersession	NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Governance</b>				
<b>Managing Legal Support</b>	<b>Managing Litigation</b>			
Managing Legal Support > Managing Litigation	Background documentation	2 years	Last related action / event	NHS CoP
Managing Legal Support > Managing Litigation	Advice	5 years	Supersession	NHS CoP
Managing Legal Support > Managing Litigation	Litigation Files	10 years	Last related action / event	NHS CoP
<b>Managing Records and Information</b>	<b>Conducting Records Surveys</b>			
Managing Records and Information > Conducting Records Surveys	Records Survey working documents	-	Supersession	NHS CoP
Managing Records and Information > Conducting Records Surveys	Records survey conclusion / report	20 years / Review	Date of report	NHS CoP
Managing Records and Information > Developing Recordkeeping Framework	<b>Developing Recordkeeping Framework</b>			
Managing Records and Information > Developing Recordkeeping Framework	Business Classification Scheme	20 years / Review	Supersession	NHS CoP
Managing Records and Information > Developing Recordkeeping Framework	Retention Schedule	20 years / Review	Supersession	NHS CoP
Managing Records and Information > Developing Recordkeeping Framework	File-plans	20 years / Review	Supersession	NHS CoP
Managing Records and Information > Developing Recordkeeping Framework	Records Registers	20 years / Review	Supersession	NHS CoP
Managing Records and Information > Managing Records Disposal	<b>Managing Records Disposal</b>			
Managing Records and Information > Managing Records Disposal	Transfer / destruction schedules / file lists / inventories / tables of contents	20 years / Review	Date of completion / issue	RM Advice
Managing Records and Information > Managing Records Disposal	Disposal Schedule (with disposal dates)	20 years / Review	Supersession	NHS CoP
Managing Records and Information > Managing Records Disposal	Confidential destruction certificates	20 years / Review	Date of certificate	NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Governance</b>				
Managing Records and Information > Managing Retention	<b>Managing Retention</b>			
Managing Records and Information > Managing Retention	Personal / Office copies of internal material	While needed		RM Advice
Managing Records and Information > Managing Retention	Personal / Office copies of external material	While needed		RM Advice
Managing Records and Information > Managing Retention	Personal / Office copies of publications	While needed		RM Advice
Managing Records and Information > Managing Retention	Reference Resources	While needed		RM Advice
Managing Records and Information > Managing Retention	Maintaining Sectional Document Library (reference copies of items produced by business section, e.g., management reports that may be needed again)	while needed		RM Advice
<b>Maintaining Authority of BSA</b>	Foundation Documents	20 years / Review	Date of document	NHS CoP
Maintaining Authority of BSA	Changes to Foundation Documents	20 years / Review	Date of change	NHS CoP
Maintaining Authority of BSA	Register of Interest	20 years / Review	Supersession	NHS CoP
Maintaining Authority of BSA	Regulations	20 years / Review	Supersession	NHS CoP
<b>Managing ICT</b>	<b>Developing ICT Systems</b>			
Managing ICT > Developing ICT Systems	Programmes developed in-house: code	Lifetime of Software		NHS CoP
Managing ICT > Developing ICT Systems	Programmes developed in-house: supporting documentation	Lifetime of Software		NHS CoP
Managing ICT > Developing ICT Systems	Programme / application implementations	Lifetime of Software		RM Advice
Managing ICT > Managing ICT System Operations	<b>Managing ICT System Operations</b>			
Managing ICT > Managing ICT System Operations	Application Support	Lifetime of Software		RM Advice

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Governance</b>				
Managing ICT > Managing ICT System Operations	Internet / Intranet technical support	Lifetime of Software		RM Advice
Managing ICT > Managing ICT System Operations	Application Testing	Lifetime of Software		PPD / Current
Managing ICT > Managing ICT System Operations	Software Licences	Lifetime of Software		NHS CoP
Managing ICT > Managing ICT System Operations	On-line forms: application forms	1 month	Last related action / event	RM Advice
Managing ICT > Managing ICT System Operations	Programme / application implementations	Lifetime of Software		RM Advice
Managing ICT > Managing ICT System Operations	Routine operational monitoring, testing, and remedial action	1 year	End of relevant year	JISC
Managing ICT > Managing ICT System Operations	Fault logging and remedial action	1 year	Last related action / event	JISC
Managing ICT > Managing ICT System Operations	Data storage, back-up, archiving and deletion	1 year	End of relevant year	JISC
Managing ICT > Managing ICT System Operations	Responding to requests to restore from back-ups	3 months	Last related action / event	JISC
Managing ICT > Managing ICT System Operations	Administering user accounts	1 year	Date account closed	JISC
Managing ICT > Managing ICT System Operations	Removal / return of mobile ICT devices, peripherals and software	3 months	Date equipment returned	JISC
Managing ICT > Managing ICT System Operations	Sanitisation of equipment prior to disposal	1 year	Date of disposal	JISC
Managing ICT > Managing ICT System Operations	Third-party connections to NHSBSA networks	1 year	Date connection ends	JISC

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Governance</b>				
<b>Administering Groups / Meetings (Non-corporate)</b>	Final Agenda	5 years	End of life of committee	JISC
Administering Groups / Meetings (Non-corporate)	Signed minutes	5 years	End of life of committee	JISC
Administering Groups / Meetings (Non-corporate)	Papers submitted	5 years	End of life of committee	JISC
Administering Groups / Meetings (Non-corporate)	Office Diaries	1 year	End of relevant year	NHS CoP
Administering Groups / Meetings (Non-corporate)	Correspondence and other records relating to the preparation of business / actions to be taken	5 years	End of relevant year	JISC
Administering Groups / Meetings (Non-corporate)	Records documenting the development and establishment of the terms of reference, and the rules and procedures	5 years / Review	End of life of committee	JISC
Administering Groups / Meetings (Non-corporate)	Development and establishment of the terms of reference, rules and procedures	6 years	End of life of committee	JISC
Administering Groups / Meetings (Non-corporate)	Appointment / election / designation of members	6 years	Termination of membership	JISC



Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Buildings &amp; Property</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
<b>Managing Building</b>	<b>Maintaining Building</b>			
Managing Building > Maintaining Building	Plans of sites	Lifetime of building		NHS CoP
Managing Building > Maintaining Building	Plan of building (as built)	Lifetime of building		NHS CoP
Managing Building > Maintaining Building	Plan of building (detail)	Lifetime of building		NHS CoP
Managing Building > Maintaining Building	Plans and records for engineering works	Lifetime of building		NHS CoP
Managing Building > Maintaining Building	Building Surveys	Lifetime of building		NHS CoP
Managing Building > Maintaining Building	Maintenance contracts / call-outs (routine)	6 years	End of relevant year	NHS CoP
Managing Building > Maintaining Building	Inspection reports	Lifetime of installation		NHS CoP
Managing Building > Maintaining Building	Inspection / Action Certificates			NHS CoP
Managing Building > Maintaining Building	Photographs of Building	20 years / Review	Date of image	NHS CoP
Managing Building > Maintaining Building	Inventories: fixed equipment	5 years	Supersession	NHS CoP
Managing Building > Developing Building	<b>Developing Building</b>			
Managing Building > Developing Building	Major engineering project: bills of quantities	20 years / Review	Project completion date	NHS CoP
Managing Building > Developing Building	Major engineering project: plans and drawings	20 years / Review	Project completion date	NHS CoP
Managing Building > Developing Building	Major engineering project: final accounts	20 years / Review	Project completion date	NHS CoP
Managing Building > Developing Building	Major engineering project: survey	20 years / Review	Project completion date	NHS CoP
Managing Building > Developing Building	Major engineering project: specifications	20 years / Review	Project completion date	NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Buildings &amp; Property</b>				
Managing Building > Developing Building	Major engineering project: engagement of consultants	20 years / Review	Project completion date	NHS CoP
Managing Building > Managing Security	<b>Managing Security</b>			
Managing Building > Managing Security	Closed-circuit TV images	31 days	Date of image	NHS CoP
<b>Managing Property</b>	<b>Acquiring Property</b>			
Managing Property > Acquiring Property	Property acquisition dossiers	20 years / Review	Last related action / event	NHS CoP
Managing Property > Acquiring Property	Deeds of Title	Length of ownership of building		NHS CoP
Managing Property > Acquiring Property	Mortgages (acquisition, transfer & disposal)	6 years	Expiry of mortgage	NHS CoP
Managing Property > Acquiring Property	Discharge of mortgages	6 years	Expiry of mortgage	RM Advice
Managing Property > Disposing of Property	<b>Disposing of Property</b>			
Managing Property > Disposing of Property	Property disposal dossiers	20 years / Review	Date of disposal	NHS CoP
Managing Property > Disposing of Property	Mortgages (acquisition, transfer & disposal)	6 years	Expiry of mortgage	NHS CoP
Managing Property > Leasing Property	<b>Leasing Property</b>			
Managing Property > Leasing Property	Granting Leases	12 years	Expiry of lease	NHS CoP
Managing Property > Leasing Property	Leasing property	12 years	Expiry of lease	NHS CoP
<b>Managing Storage</b>	<b>Managing Records Storage</b>			
Managing Storage > Managing Records Storage	Issue notes	2 years	Last related action / event	NHS CoP
Managing Storage > Managing Records Storage	Requisitions	18 months	Last related action / event	NHS CoP
Managing Storage > Managing Records Storage	Transfer vouchers	2 years	Last related action / event	NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Buildings &amp; Property</b>				
Managing Storage > Managing Records Storage	Retrieval lists / confirmation notes	2 years	Last related action / event	NHS CoP
Managing Storage > Managing Records Storage	Goods received notes / books	2 years	Last related action / event	NHS CoP
Managing Storage > Managing Records Storage	Requisitions	2 years	Last related action / event	NHS CoP
Managing Storage > Managing Records Storage	Prescription Search request form	6 months	Last related action / event	PPD / Current
Managing Storage > Managing Records Storage	Batch on Hold Retrieval form – Non Destruction order	Till hold released		RM Advice
Managing Storage > Managing Records Storage	Batch Release from Hold form	Till destruction date of batch		RM Advice
Managing Storage > Managing Records Storage	Batch Retrieval form	14 months	Last related action / event	NHS CoP
Managing Storage > Managing Goods Storage	<b>Managing Goods Storage</b>			
Managing Storage > Managing Goods Storage	Issue notes	2 years	Last related action / event	NHS CoP
Managing Storage > Managing Goods Storage	Requisitions	18 months	Last related action / event	NHS CoP
Managing Storage > Managing Goods Storage	Transfer vouchers	2 years	Last related action / event	NHS CoP
Managing Storage > Managing Goods Storage	Requests for return of non-records items	2 years	Last related action / event	NHS CoP
Managing Storage > Managing Goods Storage	Retrieval lists / confirmation notes	2 years	Last related action / event	NHS CoP
Managing Storage > Managing Goods Storage	Goods received notes / books	2 years	Last related action / event	NHS CoP
<b>Managing physical Assets</b>	Reports	6 years	Supersession	RM Advice
Managing physical Assets > Maintaining Asset Register	<b>Maintaining Asset Register</b>			
Managing physical Assets > Maintaining Asset Register	Assets register	6 years	Supersession	RM Advice

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Buildings &amp; Property</b>				
<b>Delivering Building Services</b>	<b>Managing and Administering Facilities</b>			
Delivering Building Services > Managing and Administering Facilities	Requests for Printing	2 years	Last related action / event	NHS CoP
Delivering Building Services > Managing and Administering Facilities	Receipts for registered post	2 years	Last related action / event	NHS CoP
Delivering Building Services > Managing and Administering Facilities	Receipts for recorded post	2 years	Last related action / event	NHS CoP
Delivering Building Services > Managing and Administering Facilities	Delivery notes	2 years	Last related action / event	NHS CoP
Delivering Building Services > Managing and Administering Facilities	Requests for portorage	2 years	Date of request	NHS CoP
Delivering Building Services > Managing and Administering Facilities	Property Maintenance: Minor incidents	2 years	Last related action / event	NHS CoP
Delivering Building Services > Managing and Administering Facilities	Managing cleaning service	2 years	Last related action / event	NHS CoP
Delivering Building Services > Managing and Administering Facilities	Managing Catering: Catering Forms	6 years	Last related action / event	NHS CoP
Delivering Building Services > Managing Access	<b>Managing Access</b>			
Delivering Building Services > Managing Access	Supply of Staff ID	2 years	Date of issue	NHS CoP
Delivering Building Services > Managing Access	Supply of Visitor Passes	2 years	Date of issue	NHS CoP
Delivering Building Services > Managing Access	Key Holders Register	20 years / Review	Supersession	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Buildings &amp; Property</b>				
Delivering Building Services > Managing Internal Supply Chain	<b>Managing Internal Supply Chain</b>			
Delivering Building Services > Managing Internal Supply Chain	Request for supplies / service (e.g., for furniture / stationery)	18 months	Last related action / event	NHS CoP
Delivering Building Services > Managing Equipment and Consumables	<b>Managing Equipment and Consumables</b>			
Delivering Building Services > Managing Equipment and Consumables	Equipment maintenance	11 years	Last related action / event	NHS CoP
Delivering Building Services > Managing Equipment and Consumables	Equipment specification	11 years	Last related action / event	NHS CoP
Delivering Building Services > Managing Equipment and Consumables	Maintenance logs	11 y ears	End of relevant year	NHS CoP
Delivering Building Services > Managing Equipment and Consumables	Equipment Operating Manuals	Lifetime of Equipment		NHS CoP
Delivering Building Services > Managing Equipment and Consumables	Inventories: furniture, non-fixed equipment	-	Supersession	NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Relations</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
<b>Managing Industrial Relations</b>	<b>Negotiating with Union</b>			
Managing Industrial Relations > Negotiating with Union	Industrial relations (non-routine): Final	10 years	As appropriate for sub-type	NHS CoP
Managing Industrial Relations > Negotiating with Union	Recognition / de-recognition of trades unions	10 years	De-recognition	JISC
Managing Industrial Relations > Negotiating with Union	Agreements with trade unions: Final	10 years	Termination of agreement	JISC
Managing Industrial Relations > Negotiating with Union	Consultations with trade unions on specific issues: Final	10 years	Supersession / expiry of terms of consultation	RM Advice
Managing Industrial Relations > Negotiating with Union	Negotiations with trade unions on specific issues: Final	10 years	Supersession / expiry of terms of negotiations	RM Advice
Managing Industrial Relations > Negotiating with Union	Claims lodged	10 years	Last action	RM Advice
Managing Industrial Relations > Negotiating with Union	Minutes of routine meetings with trade unions: Final	10 Years	Date of meeting	RM Advice
Managing Industrial Relations > Negotiating with Union	Correspondence related to meeting with unions: substantive	10 Years	Date of meeting	RM advice
Managing Industrial Relations > Negotiating with Union	Industrial Tribunals	10 years	Completion of tribunal	NHS CoP
Managing Industrial Relations > Negotiating with Union	Industrial Tribunal appeals	10 years	Last action	RM Advice

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Relations</b>				
Managing Industrial Relations > Negotiating with Union	Non-contractual grievances raised by staff, the response, action taken and the outcome	10 years	Last action	RM Advice
Managing Industrial Relations > Negotiating with Union	Disputes	10 years	Supersession / expiry of resolution	RM Advice
Managing Industrial Relations > Negotiating with Union	Design of workforce surveys and consultations	5 years	Completion of survey / consultation	JISC
Managing Industrial Relations > Negotiating with Union	Identifiable individual responses to workforce surveys and consultations.	-	Completion of analysis of responses	JISC
Managing Industrial Relations > Negotiating with Union	Anonymised results of workforce surveys and consultations.	5 years	Completion of survey	JISC
<b>Managing staff representation</b>	<b>Safety</b>			
Managing staff representation > Safety	Establishment of Safety Committee	50 years	Dissolution of Committee	Staffordshire CC JISC
Managing staff representation > Safety	Election of members to Safety Committee	1 year	End of term of office	Staffordshire CC JISC
Managing staff representation > Safety	Appointment of safety representatives by unions	1 year	Termination of appointment	
Managing staff representation > Safety	Proceedings and decisions of Safety Committee	50 years	Date of meeting / decision	JISC
Managing staff representation > Safety	Consultations / communications with Safety Representatives	50 years	Date of last action on specific issue	Staffordshire CC JISC
Managing staff representation > Safety	Time off or other assistance provided to Safety Representatives	5 years	End of relevant year	Staffordshire CC JISC
<b>Responding to External Consultation</b>	Responses to External Consultation (major)	5 years	Supersession / expiry of terms of consultation	NHS CoP
Responding to External Consultation	Responses to External Consultation (minor)	5 years	Supersession / expiry of terms of consultation	NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Relations</b>				
<b>Requesting External Consultation</b>	Requesting Consultation: Responses (major)	5 years	Supersession / expiry of terms of consultation	NHS CoP
Requesting External Consultation	Requesting Consultation: Summary Responses (major)	10 years	Supersession / expiry of terms of consultation	NHS CoP
Requesting External Consultation	Consultation Output	20 years / Review	Date of publication	RM Advice
<b>Producing Information for External Audiences</b>	Approval documentation for content	2 years	Supersession	NHS CoP
Producing Information for External Audiences	Guides (external)	6 years	Supersession	NHS CoP
Producing Information for External Audiences	Non-legislative enquiries: questions and responses	18 months	Last related action / event	RM Advice
Producing Information for External Audiences	Requests to access records (exc. FOI / DPA process)	6 years	Last related action / event	NHS CoP
Producing Information for External Audiences	FAQs	While relevant: snapshot 10 years		RM Advice
Producing Information for External Audiences	Annual Report	3 years	End of relevant year	NHS CoP
Producing Information for External Audiences	Surveys (re services)	2 years	Completion of survey	NHS CoP
Producing Information for External Audiences	Press Releases	6 years	Date of release / End of relevant year	NHS CoP
Producing Information for External and Internal Audiences	Press Cuttings	1 year	Date of cutting / End of relevant year	NHS CoP
<b>Producing Information for Internal Audiences</b>	FAQs	While relevant: snapshot 10 years		RM Advice
Producing Information for Internal Audiences	Internal publication	3 years	Supersession / Date of publication	
Producing Information for Internal Audiences	Responses to outline / informal requests for information	2 years	Last related action / event	



Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Corporate Relations</b>				
<b>Managing Conferences / Events</b>	Managing Events (non-financial records): delegate List	While active		RM Advice
Managing Conferences / Events	Speakers biographies	Until end conference; shred unless published		RM Advice
Managing Conferences / Events	Contact database	While permitted (e.g., 1 year)	Date of event	RM Advice
Managing Conferences / Events	Feedback / Survey forms	6 years	Date of event	PPD / Current
Managing Conferences / Events	Speakers text	20 years / Review	Date of event	RM Advice

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Procurement</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
<b>Managing Tenders and Contracts</b>	Credit Application Forms	6 years	Last related action / event	PPD / Current
Managing Tenders and Contracts	Legal Services Request Forms	6 years	Start of contract	PPD / Current
Managing Tenders and Contracts	"Compliance Units issues" (from original register)	6 years		PPD / Current
Managing Tenders and Contracts > Tendering Contracts	<b>Tendering Contracts</b>			
Managing Tenders and Contracts > Tendering Contracts	Invitation to tender	18 months	Start of contract	NHS CoP
Managing Tenders and Contracts > Tendering Contracts	Successful tenders	6 years	End of contract	NHS CoP
Managing Tenders and Contracts > Tendering Contracts	Unsuccessful tenders	6 years	Start of contract	NHS CoP
Managing Tenders and Contracts > Tendering Contracts	Inadmissible tenders	18 months	Start of contract	NHS CoP
Managing Tenders and Contracts > Tendering Contracts	Quotations	6 years	Start of contract	PPD / Current
Managing Tenders and Contracts > Tendering Contracts	Summary of competitive quotes	6 years	Start of contract	PPD / Current
Managing Tenders and Contracts > Tendering Contracts	Responses to tender	6 years	Start of contract	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Procurement</b>				
Managing Tenders and Contracts > Tendering Contracts	Justification Reports	6 years	Start of contract	PPD / Current
Managing Tenders and Contracts > Tendering Contracts	Expressions of interest	1 month	Start of contract	PPD / Current
Managing Tenders and Contracts > Tendering Contracts	Outline Proposals	6 years	Start of contract	PPD / Current
Managing Tenders and Contracts > Tendering Contracts	Tender Proposals	6 years	Start of contract	PPD / Current
Managing Tenders and Contracts > Approving Suppliers	<b>Approving Suppliers</b>			
Managing Tenders and Contracts > Approving Suppliers	Approved Files	6 years		NHS CoP
Managing Tenders and Contracts > Approving Suppliers	Approved supplier list	11 years	Supersession	NHS CoP
Managing Tenders and Contracts > Managing Contracts	<b>Managing Contracts</b>			
Managing Tenders and Contracts > Managing Contracts	Contracts Awards	6 years	End of contract	PPD / Current
Managing Tenders and Contracts > Managing Contracts	Maintenance contracts	6 years	End of contract	PPD / Current
Managing Tenders and Contracts > Managing Contracts	Lease car records	6 years	End of relevant year	PPD / Current
Managing Tenders and Contracts > Managing Contracts	Non-sealed contracts	6 years	End of contract	NHS CoP
Managing Tenders and Contracts > Managing Contracts	Sealed contracts	15 years	End of contract	NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Investigation of Fraud</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
<b>Investigation / Prosecution of Case</b>	Preliminary evidence	6 years	Date case closed	NHS CoP
Investigation / Prosecution of Case	Local investigation	6 years	Date case closed	NHS CoP
Investigation / Prosecution of Case	Local resolution	6 years	Date case closed	NHS CoP
Investigation / Prosecution of Case	Additional evidence (incl. witness statements)	6 years	Date case closed	NHS CoP
Investigation / Prosecution of Case	Internal correspondence	6 years	Date case closed	NHS CoP
Investigation / Prosecution of Case	Decision to prosecute	6 years	Date case closed	NHS CoP
Investigation / Prosecution of Case	Legal advice	6 years	Date case closed	NHS CoP
Investigation / Prosecution of Case	Legal bundle / case papers	6 years	Date case closed	NHS CoP
Investigation / Prosecution of Case	Outcome / decision	6 years	Date case closed	NHS CoP
Investigation / Prosecution of Case	Correspondence with health regulators	6 years	Date case closed	NHS CoP
Investigation / Prosecution of Case	Report from forensic computing investigation	6 years	Date case closed	NHS CoP
<b>Patient Exemption Checks</b>	Reports	2 years	Last related action / event	PPD / Current
Patient Exemption Checks	Exemption database details	2 years	Last related action / event	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Security Management</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
-	Training documents	5 years	Date of training	RM Advice
-	Surveys	2 years	Completion of survey	
-	Advice	5 years	Last related action / event	RM Advice
-	Awareness Campaigns	3 years	Last related action / event	NHS CoP
-	Prevention of Fraud (national activities)	3 years	Last related action / event	NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Supply Chain Management</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
-	Stock Control Reports	18 months	Last related action / event	NHS CoP
-	Requisitions	18 months	Last related action / event	NHS CoP
-	Issue notes	18 months	Last related action / event	NHS CoP
-	Transfer Vouchers	18 months	Last related action / event	NHS CoP
-	Goods received notes / books	18 months	Last related action / event	NHS CoP

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Payments for Health Services</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
<i>All Activities</i>	Application / claim form / prescription form	14 months	Last related action / event	Business requirement
<i>All Activities</i>	Financial information from forms / invoices	6 years	End of relevant year	RM Advice
<i>All Activities</i>	Batch Header	14 months		PPD / Current
<i>All Activities</i>	Payment On Account Letters	6 years	End of relevant year	PPD / Current
<i>All Activities</i>	Query Report	6 years	End of relevant year	PPD / Current
<i>All Activities</i>	Adjustments / adjustment forms	2 years	End of relevant year	PPD / Current
<i>All Activities</i>	Discrepancy Letters	2 years	End of relevant year	PPD / Current
<i>All Activities</i>	Late account log	14 months	End of relevant year	PPD / Current
<b>Paying Personal Dental Services</b>	Prescription form FP17	14 months	Last related action / event	RM Advice
<b>Paying General Dental Services</b>	Prescription form FP17	14 months	Last related action / event	RM Advice
<b>Paying Pharmacies for prescriptions</b>	Prescription form FP10 (non-private)	14 months	Last related action / event	RM Advice
Paying Pharmacies for prescriptions	Prescription form FP10 (private)	2 years	Last related action / event	RM Advice
Paying Pharmacies for prescriptions	Prescription form FP34 (all variants)	14 months	Last related action / event	RM Advice
Paying Pharmacies for prescriptions	Prescription Switching Letters	6 years	End of relevant year	PPD / Current
<b>Authorising Payment to Dispensing Doctors</b>	Standard Letters Doctors	3 years	End of relevant year	PPD / Current
Authorising Payment to Dispensing Doctors	Prescription Switching Letters	6 years	End of relevant year	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Payments for Health Services</b>				
<b>Authorising Payment to Appliance Contractors</b>	Contractor Payroll Schedule back page	2 years	End of relevant year	PPD / Current
<b>Developing or Reviewing Payment Schedules</b>	Schedules (Appliance / Doctor / PADM / Oxygen Concentrators)	6 years	End of relevant year	PPD / Current



Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Financial Support Applications</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
<b>Managing student grants</b>	<b>Student Bursaries</b>			
Managing student grants > Student Bursaries	Barcode Coversheet	7 days	Date of creation	Agreed by RM
Managing student grants > Student Bursaries	Disability: Disability Receipt	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Disability: Doctors Note	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Disability: NAR (Needs Assessment Report)	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Disability: Other Disability Evidence	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Disability: Proforma Invoice	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Disability: Psychologist Report	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	ID: Certificate Of Naturalisation	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	ID: Home Office Letter	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	ID: Non UK Birth Certificate	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	ID: Non UK Driving Licence	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	ID: Non UK ID Card	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	ID: Non UK Passport	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	ID: Other Non UK ID Form	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	ID: Other UK ID Form	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	ID: UK Birth Certificate	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	ID: UK Driving Licence	7 years	Cessation of course	Agreed by RM

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Financial Support Applications</b>				
Managing student grants > Student Bursaries	ID: UK ID Card	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	ID: UK Passport	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	ID: Visa/Residence Permit	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Income: Bank Statement	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Income: Benefit Letter	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Income: Financial Account	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Income: JSA Proof	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Income: LEA Letter	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Income: Mortgage Statement	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Income: P45	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Income: P60	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Income: Payslips	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Income: Tenancy Agreement	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Other: Child Care Provider Form	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Other: Death Certificate	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Other: Decree Nisi	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Other: Letter From Third Party	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Other: Marriage Certificate	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	HEI doc: Change of Course Details	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	HEI doc: HEI Contact Details	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	HEI doc: Resume	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	HEI doc: Term Dates	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	HEI doc: Withdraw	7 years	Cessation of course	Agreed by RM

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Financial Support Applications</b>				
Managing student grants > Student Bursaries	HEI doc: Withdraw Mat	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Application Form	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Application Form - Course not taken up	1 Year	Start of relevant academic year	Agreed by RM
Managing student grants > Student Bursaries	PPE: Accommodation Receipts	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	PPE: Invoice	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	PPE: PPE Receipt	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	PPE: Tenancy Agreements	7 years	Cessation of course	Agreed by RM
Managing student grants > Student Bursaries	Registration Details - No subsequent activation of account	72 hours	Time of registration	Agreed by RM
Managing student grants > Student Bursaries	Registration Details - No subsequent application	9 months	Activation of account	Agreed by RM
Managing student grants > Social Work Bursaries	<b>Social Work Bursaries</b>			
Managing student grants > Social Work Bursaries	Disability: Disability Receipt	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Disability: Doctors Note	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Disability: NAR (Needs Assessment Report)	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Disability: Other Disability Evidence	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Disability: Proforma Invoice	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Disability: Psychologist Report	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	ID: Certificate Of Naturalisation	7 years	Cessation of course	Agreed by RM

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Financial Support Applications</b>				
Managing student grants > Social Work Bursaries	ID: Home Office Letter	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	ID: Non UK Birth Certificate	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	ID: Non UK Driving Licence	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	ID: Non UK ID Card	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	ID: Non UK Passport	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	ID: Other Non UK ID Form	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	ID: Other UK ID Form	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	ID: UK Birth Certificate	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	ID: UK Driving Licence	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	ID: UK ID Card	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	ID: UK Passport	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	ID: Visa/Residence Permit	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Income: Bank Statement	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Income: Benefit Letter	7 years	Cessation of course	Agreed by RM

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Financial Support Applications</b>				
Managing student grants > Social Work Bursaries	Income: Financial Account	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Income: JSA Proof	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Income: LEA Letter	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Income: Mortgage Statement	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Income: P45	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Income: P60	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Income: Payslips	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Income: Tenancy Agreement	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Other: Child Care Provider Form	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Other: Death Certificate	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Other: Decree Nisi	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Other: Letter From Third Party	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Other: Marriage Certificate	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	HEI doc: Change of Course Details	7 years	Cessation of course	Agreed by RM

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Financial Support Applications</b>				
Managing student grants > Social Work Bursaries	HEI doc: HEI Contact Details	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	HEI doc: Resume	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	HEI doc: Term Dates	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	HEI doc: Withdraw	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	HEI doc: Withdraw Mat	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Application Form	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Application Form - Course not taken up	1 Year	Start of relevant academic year	Agreed by RM
Managing student grants > Social Work Bursaries	PPE: Accommodation Receipts	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	PPE: Invoice	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	PPE: PPE Receipt	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	PPE: Tenancy Agreements	7 years	Cessation of course	Agreed by RM
Managing student grants > Social Work Bursaries	Registration Details - No subsequent activation of account	72 hours	Time of registration	Agreed by RM
Managing student grants > Social Work Bursaries	Registration Details - No subsequent application	9 months	Activation of account	Agreed by RM

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Financial Support Applications</b>				
<b>Managing EHIC</b>	Exemption Application (EHIC)	1 year	Date of issue	RM Advice
<b>Managing Help with Health Costs</b>	<b>Medical Exemption Certificates (Medex)</b>			
Managing Help with Health Costs > Medical Exemption Certificates (Medex)	Exemption Application (MEDEX)	6 years	Date of issue	RM Advice
Managing Help with Health Costs > Maternity Exemption Certificates (Matex)	<b>Maternity Exemption Certificates (Matex)</b>			
Managing Help with Health Costs > Maternity Exemption Certificates (Matex)	Exemption Application (MATEX)	33 months	Date of issue	RM Advice
Managing Help with Health Costs > NHS Low Income Scheme (LIS)	<b>NHS Low Income Scheme (LIS)</b>			
Managing Help with Health Costs > NHS Low Income Scheme (LIS)	Reassessment of Claim (e.g. for LIS / 1 year Cert)	24 months	Last related action / event	PPD / Current
Managing Help with Health Costs > NHS Low Income Scheme (LIS)	Reassessment of Claim (e.g. for LIS / 5 year Cert)	24 months	Last related action / event	PPD / Current
Managing Help with Health Costs > NHS Low Income Scheme (LIS)	Correspondence Checks (e.g. LIS44)	24 months	Last related action / event	PPD / Current
Managing Help with Health Costs > NHS Low Income Scheme (LIS)	Assessment Checks (e.g. LIS42)	24 months	Last related action / event	PPD / Current

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Pensions</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
<b>Managing Members' Pensions</b>	Member's summary record	70 years	NRA	RM advice
Managing Members' Pensions	Member's payment file: All categories	6 years (+ current)	Date of (last) payment	RM advice
Managing Members' Pensions	Pensions Database	See comment	See comment	
Managing Members' Pensions	Benefits paid from scheme	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Pensions estimates and awards	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Benefits transferred in to the scheme	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Contributions Equivalent Premium (CEP) paid	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Additional Voluntary Contributions (AVC)	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Death benefit nomination / revocation forms	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Previous service (NHS)	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Actual and reckonable service (including periods of unpaid leave)	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Added years	As appropriate for Core File category	As appropriate for Core File category	



Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Pensions</b>				
Managing Members' Pensions	Final pensionable pay	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Calculation of members' and dependants' benefits	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Industrial Injury records	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Changes in terms and conditions	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Overpayment of benefits	6 years	End of year of repayment / write-off	
Managing Members' Pensions	New employer details (leavers)	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Bank details (superseded)	6 years	Supersession	
Managing Members' Pensions	Bank details (current)	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Notification / change of contact details (superseded)	6 years	Supersession	
Managing Members' Pensions	Notification / change of contact details (current)	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions	Notification / change of personal status	As appropriate for Core File category	As appropriate for Core File category	
Managing Members' Pensions > Pension Benefits - Claimed	<b>Pension Benefits – Claimed</b>			
Managing Members' Pensions > Pension Benefits - Claimed	Member's core file: No survivor / estate benefits after member death	3 months	Death of member	RM advice
Managing Members' Pensions > Pension Benefits - Claimed	Member's core file: Survivor Benefit (Partner only) after member death	3 months	Death of partner	RM advice
Managing Members' Pensions > Pension Benefits - Claimed	Member's core file: Survivor Benefit (Child only) after member death	3 months	Youngest child age 23 / Dependency ceases	RM advice

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Pensions</b>				
Managing Members' Pensions > Pension Benefits - Claimed	Member's core file: Survivor Benefit (Incapacitated child only) after member death	3 months	Death / recovery of child	RM advice
Managing Members' Pensions > Pension Benefits - Claimed	Member's core file: Survivor Benefit (Partner / Children) after member death	3 months	Latest of: Death of partner Youngest child age 23 / Dependency ceases Death / recovery of incapacitated child	RM advice
Managing Members' Pensions > Lump Sum Benefits - Claimed	<b>Lump Sum Benefits – Claimed</b>			
Managing Members' Pensions > Lump Sum Benefits - Claimed	Member's core file: Less than 2 years' service	3 months	Date of payment	RM advice
Managing Members' Pensions > Lump Sum Benefits - Claimed	Member's core file: Nominee / Estate benefits after member death	3 months	Date of payment	RM advice
Managing Members' Pensions > Pension Benefits - Not Claimed	<b>Pension Benefits – Not Claimed</b>			
Managing Members' Pensions > Pension Benefits - Not Claimed	Member's core file: DIR No survivor / estate benefits after member death	Age 100	-	TNA
Managing Members' Pensions > Pension Benefits - Not Claimed	Member's core file: Survivor Benefit (Partner only) after member death	70 years	NRA / Date of death	RM advice
Managing Members' Pensions > Pension Benefits - Not Claimed	Member's core file: Survivor Benefit (Child only) after member death	23 years	NRA / Date of death	RM advice
Managing Members' Pensions > Pension Benefits - Not Claimed	Member's core file: Survivor Benefit (Incapacitated child only) after member death	70 years	NRA / Date of death	RM advice
Managing Members' Pensions > Pension Benefits - Not Claimed	Member's core file: Survivor Benefit (Partner / Children) after member death	70 years	NRA / Date of death	RM advice
Managing Members' Pensions > DIS Lump Sum Benefits - Not Claimed	<b>DIS Lump Sum Benefits – Not Claimed</b>			
Managing Members' Pensions > DIS Lump Sum Benefits - Not Claimed	Member's core file: Nominee / Estate benefits after member	Indefinite		

Functions / Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Pensions</b>				
Managing Members' Pensions > Refund of Contributions - Not Claimed	<b>Refund of Contributions – Not Claimed</b>			
Managing Members' Pensions > Refund of Contributions - Not Claimed	Member's core file: Estate benefits after member	Indefinite		
<b>Managing Pension Scheme</b>	Superannuation accounts	6 years	End of relevant scheme year	
Managing Pension Scheme	Superannuation registers	70 years	NRA of youngest member in register	
Managing Pension Scheme	Tax report	6 years	End of relevant scheme year	RM Advice
Managing Pension Scheme	Scheme profile	duration of pension scheme	End of relevant scheme year	RM Advice
Managing Pension Scheme	Enhancement application	6 years	End of relevant scheme year	RM Advice
Managing Pension Scheme	Transaction notification	6 years	End of relevant scheme year	RM Advice
Managing Pension Scheme	Addition of new members	duration of pension scheme		RM Advice
Managing Pension Scheme	Financial records (receipts and payments)	6 years	End of relevant scheme year	NHS CoP
Managing Pension Scheme	Financial records (investments)	6 years	End of relevant scheme year	NHS CoP
Managing Pension Scheme	Notifiable events, for example, relating to incapacity	6 years	End of relevant scheme year	CIPD
Managing Pension Scheme	Actuarial valuation reports	Permanently		CIPD
Managing Pension Scheme	Pension scheme investment policies	6 years	Wind-up of scheme	RM Advice

Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Dental Reference Service</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
<b>DRS Clinic checks</b>	Clinic check case files	2 years	Last related action / event	Dental Services
<b>DRS Surgery Visits</b>	surgery visit case files	2 years	Last related action / event	RM Advice

## Generic Functions and Activities

Activities	Record Types / Process Content	Retention Period	Retention Period Starts	Mandate
<b>Managing Business Unit</b>				
<i>All Activities</i>	<b>Transitory records</b>	3 months	Last related action / event	RM Advice
<i>All Activities</i>	<b>Administrative Records (not otherwise specified)</b>	2 years	Last related action / event	NHS CoP
<i>All Activities</i>	<b>Draft documents, and correspondence related to drafts</b>	2 years	Issue of final document; date of contract / meeting / agreement etc	RM Advice
<b>Managing Meetings</b>	Final Agenda	3 years	End of current year	JISC
Managing Meetings	Signed minutes	3 years	End of current year	JISC
Managing Meetings	Papers submitted	3 years	End of current year	JISC
<b>Planning Work</b>	Work allocation / scheduling	-	End of current year	JISC
Planning Work	Desk diaries and similar planning / scheduling tools	1 year	End of current year	NHS CoP
<b>Monitoring Work</b>	Documenting the progress of work	-	End of current year	JISC

## Appendix A: Change Log

Req'st Code	Date of Request	Req'd By	Subject of Change	Existing	Proposed	Reason	Comments
10-001	2010-07-13	Records Manager	Retention period for draft documents (unless specified otherwise by e.g. NHS CoP, TNA))	Various; 6 months or 2 years	2 years after issue of final document / date of contract, meeting, agreement etc	6 months too short if there are significant variations.	Add in at beginning of each function as global entry, along with transitory and admin. Tidy up to delete any duplication of these global categories further down the schedule.
10-002	2010-10-04	Chris Gooday	Retention period for Drug Tariff Part IX Applications	15 years	5 years	Brings into line with DoH.	Supporting correspondence with DoH.
10-003	2010-07-14	Jason Armstrong	Retention period for Dental FP17 forms	not specified	14 months	In line with prescriptions in general	See RM Advice Log 10-005
10-004	2010-07-20	Phil Reay	Retention period for FP34Cs.	2 years (in PPD?) n/s)	14 months	All other prescription-related forms e.g. FP34 held for 14 months.	See RM Advice Log 10-006
10-005	2010-07-20	Phil Reay	Retention period for retrieval slips and logs.	2 years	14 months	Same as for prescriptions themselves.	On reflection, keep logs for 2 years but 14 mths fine for slips.
10-006		Chris Gooday	Records for permanent / indefinite retention	30 years + review	20 years + review	30-year-rule now 20 years, so any records for TNA will have to be sent earlier.	
11-001	2011-01-07	Phil Reay	Retention period for prescriptions issued by private accounts. All other FP10s retained for 14 months but private FP10s for 2 years.	n/s	2 years after receipt	Per CG, the only private prescriptions retained are for CDs, which have 2-year period.	RM Advice Log 11-001. 2 years OK, as it is correct for CDs and the anomalous position of non-private prescriptions is documented.
11-002	2011-02-16	Records Manager	Align classifications in Retention Schedule V2 (v3.01) with those of BCS V1 (v2.03)				

Req'st Code	Date of Request	Req'd By	Subject of Change	Existing	Proposed	Reason	Comments
11-003	2011-02-16	Records Manager	Classification of 'Review Reports' currently under Policy, Strategy and Procedures	20 years	20 years + review	These are 'Management Review reports' given in the old Dental retention schedule under 'Board'. They would therefore be better included under 'Corporate Groups'.	CoP silent on these, so assume they would have the same status as Board papers.
11-004	2011-02-16	Records Manager	Change all items marked with 'permanent' as retention period to 20 years + review	Permanent	20 years + review	If they merit being kept permanently, they should be transferred to TNA once the 20-year period is up, unless they need to be exempted from transfer for operational use.	
11-005	2011-02-16	Records Manager	Move category for routine requests for information under Records Management to Corporate Relations > Internal info.				
11-006	2011-02-16	Records Manager	Re-vamp classification for Buildings and Properties			No change in retention, but classification needs to be rationalized.	
11-007	2011-02-18	Samantha Swainston	Revised Student Bursaries retention.	Various	Various	Clarified and revised for using with Meridio.	Retention periods agreed in consultation with Records Manager and HoIG..
11-008	2011-02-21	Records Manager	Revised Social Work Bursaries retention.	Various	Various	These need to be kept in line with the Student Bursaries retention policies, as the records are of the same nature, just split for administrative purposes.	
11-009	2011-02-23	Records Manager	Delete 'Storage Contracts' from Buildings > Storage			Contracts are covered under Procurement.	

Req'st Code	Date of Request	Req'd By	Subject of Change	Existing	Proposed	Reason	Comments
11-010	2011-03-02	Records Manager	Add in retention periods for relevant records given in JISC schedule but not in current BSA schedule or NHS CoP.	-	Various	Some of the existing functions / activities (e.g. ICT) are sparsely populated in the current BSA schedule and could usefully be supplemented where the JISC schedule provides more detail.	



## References: Related documents and sources

### **NHSBSA Documents and Publications**

These documents are available on the Corporate Policies and Procedures page of the NHSBSA website at <http://www.nhsbsa.nhs.uk/2342.aspx>

NHSBSARM014 *NHSBSA Corporate Business Classification Scheme*

NHSBSARM015 *NHSBSA Corporate Records Management Guidance*

### **Other Documents and Publications**

Department of Health *Records Management: NHS Code of Practice*

[http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH\\_4131747](http://www.dh.gov.uk/en/Publicationsandstatistics/Publications/PublicationsPolicyAndGuidance/DH_4131747)

JISC InfoNet [Joint Information Systems Committee] HE Business Classification Scheme and Records Retention Schedule

<http://www.jiscinfonet.ac.uk/partnerships/records-retention-he>

The National Archives (TNA) guidance on records retention

<http://www.nationalarchives.gov.uk/information-management/guidance/r.htm>