

## The Scottish Ambulance Service



### DOCUMENT STORAGE, RETENTION AND DISPOSAL POLICY

Version 4.00

**DOCUMENT CONTROL SHEET:**

The Policy will be reviewed bi-annually and also updated when required taking into account any new legislation and the operational requirements of SAS.

**Key Information:**

<b>Title:</b>	Document Storage, Retention and Disposal Policy
<b>Date Published/Issued:</b>	15/12/2022
<b>Date Effective From:</b>	15/12/2022
<b>Version/Issue Number:</b>	V4.00
<b>Document Type:</b>	Policy
<b>Document status:</b>	Approved
<b>Author:</b>	Records Management Officer
<b>Owner:</b>	Senior Information Risk Officer
<b>Approver:</b>	Information Governance Committee Policy Review Group Staff Governance Committee
<b>Contact:</b>	<a href="mailto:sas.recordsmanagement@nhs.scot">sas.recordsmanagement@nhs.scot</a>
<b>File Location:</b>	SAS Intranet: <a href="#">Records Management Toolbox</a>

**Revision History:**

<b>Version:</b>	<b>Date:</b>	<b>Summary of Changes:</b>	<b>Name:</b>
1.00	01/05/2008	Approved version	RJ
2.00	22/12/2014	Approved version	KB
3.00	07/09/2020	Approved version	EOB
4.00	15/12/2022	Approved version	KB

**Approvals:** This document requires the following signed approvals.

<b>Name:</b>	<b>Date:</b>	<b>Version:</b>
Information Governance Group	02/03/2022	3.01
Policy Review Group	10/05/2022	3.01
Policy Review Group	11/10/2022	3.02
Staff Governance Committee	15/12/2022	3.02

**Distribution:** This document has been distributed to

<b>Name</b>	<b>Date</b>	<b>Version</b>
Information Governance Committee	02/03/2022	3.01
Policy Review Group	10/05/2022	3.01
Policy Review Group	11/10/2022	3.02
Staff Governance Committee	15/12/2022	3.02

**Linked Documentation:**

<b>Document Title:</b>
SAS Records Management Policy
Notice 700/21 Keeping VAT records
Document Classification Policy

**Equality and Diversity Impact Assessment:**

No implications identified.
-----------------------------

## 1. Introduction

- 1.1. Records are a corporate asset and the Scottish Ambulance Service depends on its records to operate efficiently, maintain corporate memory, and provide evidence of its actions and decisions.
- 1.2. As part of the overall records management framework, the Service must ensure that records are stored, retained, and disposed of in line with current legislative requirements and relevant guidance.
- 1.3. The Documents Storage, Retention & Disposal Policy sits beside the Records Management Policy and Version Control & Naming Conventions to work together to document, describe and advise on records management throughout the Service.

## 2. Scope

- 2.1. The Documents Storage, Retention & Disposal Policy covers all clinical and administrative records and documents, in any format, held by SAS or on behalf of SAS by another person.
- 2.2. The Policy applies to all Scottish Ambulance Staff and those working on behalf of the Service, including volunteers. All staff create, receive, and use records and must manage these records in accordance with the Service's policies.

## 3. Objectives

- 3.1. To describe the context of record keeping within SAS and discuss the obligations of the Service to create, store, maintain, review, and dispose of records appropriately.
- 3.2. To ensure that all records, electronic or manual, are created, named, and stored in line with the Business Classification Scheme and Version Control & Naming Conventions.
- 3.3. To ensure that records are retained for the correct period of time, as outlined in the Retention Schedule.
- 3.4. To describe the legislation that affects the creation, storage, retention and disposal of records.
- 3.5. To highlight the responsibility of all staff in records management policies and procedures.

## 4. Record Retention

- 4.1. Records must be retained for a minimum period of time, based on statutory requirements and current guidance, before undergoing the review and disposal procedure.
- 4.2. The retention periods set out in the Retention Schedule are taken from the Scottish Government Records Management Code of Practice for Health and Social Care (Scotland) 2020 and must be followed for all records regardless of their format, i.e. paper or electronic.
- 4.3. Documents of historical importance (1948 or earlier) must not be destroyed and should be annotated clearly "DO NOT DESTROY". Other post-1948 documents considered to be of historical importance should also be retained.
- 4.4. Drafts or different versions of all documents and routine reports listed in the Retention Schedules must also be retained for the same timeframe as the final published document.
- 4.5. Where paper records are being retained, they should be boxed and clearly labelled showing the type of material stored, the date of storage and the review/destruction date. Where confidential material is included that should be clearly indicated on the box and marked 'Authorised Persons Only to View Contents of this Box'. Any offsite storage arrangements should be made in consultation with the records manager. The storage arrangements should allow for the timeous retrieval of records and information.
- 4.6. Most documents not included in the Retention Schedule of this policy are deemed to be of minor or transient importance e.g. meeting requests. However, there will be some instances where records important to the Service have not been listed. If you believe there are record types missing from the schedules, please contact the records manager to discuss appropriate retention periods.
- 4.7. Duplicates of documents known to exist elsewhere (unless they have important minutes/indices/registers compiled for temporary purposes) are also not included in the Retention Schedules. Destruction of these documents should comply with the process outlined in paragraph 5.7 below.
- 4.8. Records related to the Covid-19 pandemic will likely need to be kept permanently for long-term organisational work, research, and enquiries. Regardless of retention periods noted within the schedules, please mark these records as permanent.

## 5. Record Review & Destruction

- 5.1. There must be a consistent and documented approach to the review and disposition of records once they reach the end of their retention period.
- 5.2. Once a record has reached the end of its retention period, a review is to be carried out by an authorised person, for example, the Information Asset Owner or Information Champion.
- 5.3. During this review, it will be determined whether the record should be retained for a longer period, selected for archiving, or securely destroyed.
- 5.4. Some records may be considered of historical or research value, in which case they will be transferred to the National Records of Scotland for permanent preservation.
- 5.5. Section 61 of the Freedom of Information (Scotland) Act 2002 and the Scottish Government Records Management Code of Practice for Health and Social Care (Scotland) 2020 requires SAS to log the destruction of its records. A record of the destruction of records, using the [Records Review & Disposal Register](#), should be completed on a divisional/area level and sent to the records manager annually to be preserved.
- 5.6. All records are subject to the Public Records (Scotland) Act, and information contained within such records is subject to the Freedom of Information (Scotland) Act 2002, the Environmental Information (Scotland) Regulations 2004, and the Data Protection Act 2018. If a record is known to be the subject of a request for information or potential legal action, destruction should be delayed until disclosure has taken place. It is important to note that section 65 of the Freedom of Information (Scotland) Act and Regulation 19 of the Environmental Information (Scotland) Regulations 2004 provide that it is a criminal offence to destroy records with the intent to prevent disclosure.
- 5.7. Where the volume of records to be destroyed cannot reasonably be achieved through local shredding arrangements, documents containing patient/person identifiable information or confidential or sensitive information whose uncontrolled disclosure may pose a risk to an individual or the business of the Scottish Ambulance Service, including duplicates, must be placed in confidential waste bags and shredded by a reputable contractor.

## 6. Confidentiality

- 6.1. Records should never be left unattended or in an unsecured area and information held electronically may only be accessed by authorised users of SAS systems according to duties and level of responsibility. Passwords for systems should be changed regularly in accordance with SAS Policy.

- 6.2. Confidential data should only be disposed in accordance with SAS procedures (Section 5). ICT Support staff are able to advise and assist in the disposal of electronic data on hard disks and removable storage devices.
- 6.3. All staff should have confidentiality issues, including the Data Protection Act 2018 and the role of the Caldicott Guardian, explained locally and at induction. They should sign a declaration of confidentiality as part of their contract of employment with one copy being retained in their personal file and one to be retained by employee (Data Protection Principles – Section 16)

## 7. Data Protection & Caldicott Principles

- 7.1. DATA PROTECTION: The principles underpinning this Policy where it covers personal and patient information come from the Data Protection Act 2018 and the system of Caldicott guardianship. These principles relate to the collection and use of Personal Data and sensitive information (health information, care records etc.) and are:
- 7.1.1. Processing of personal data must be lawful and fair; personal data must be collected for legitimate reasons and not have a negative effect on the data subject. Organisations must be transparent about the reasons for collection and how the data will be used.
  - 7.1.2. Processing of personal data must be specified, explicit and legitimate; organisations must collect data only for specific reasons which must be legitimate and made explicit to the data subject. Personal data cannot be used for reasons other than what was specified upon collection.
  - 7.1.3. Personal data must be adequate, relevant and not excessive; organisations should minimise the amount of personal data it holds and only collect and hold personal data where relevant and necessary.
  - 7.1.4. Processing must be accurate and kept up to date; organisations must take reasonable steps to ensure that the personal data it holds on an individual is accurate and up to date.
  - 7.1.5. Personal data must be kept for no longer than is necessary; personal data should not be retained for any longer than is required, then should be properly destroyed.
  - 7.1.6. Personal data must be processed in a secure manner; organisations must ensure that appropriate security measures are in place to protect personal data.
  - 7.1.7. Personal data must be held in compliance with the principles; organisations must be held accountable for the personal data they hold and must have appropriate measures and records in place to demonstrate compliance with the principles.

7.2. CALDICOTT PRINCIPLES: The six Caldicott Principles relate specifically to the management of confidential health & social care information and are intended to supplement, not replace, the Data Protection Act principles.

- 7.2.1. Justify the purpose(s) for using confidential information – if we do not have a reason to collect or use confidential health and social care information then we should not.
- 7.2.2. Only use confidential health information when absolutely necessary – even though we may be justified in collecting confidential health and social care information it should not be used without need.
- 7.2.3. Use the minimum that is required – regardless of how much confidential health and social care information is collected, only use the amount you need to fulfil a particular purpose.
- 7.2.4. Access to confidential health information should be on a strict need-to-know basis – only those with a clear right of access to confidential health and social care information should have access but then only to the elements they need to know.
- 7.2.5. Everyone must understand their responsibilities – comply with Service policy and/or instructions on the handling of confidential health and social care information.
- 7.2.6. Understand and comply with the law – As confidential health and social care information is collected and used under the Data Protection Act 2018 there is a statutory responsibility to manage it within the law.

## **8. Freedom of Information (Scotland) Act 2002 (FOISA)**

- 8.1. The Freedom of Information (Scotland) Act applies to public bodies and other organisations that provide public services, including local councils, the NHS (including the Scottish Ambulance Service), Police Scotland, the Scottish Government, universities, etc.
- 8.2. Anyone has the right to ask for and be given information under FOISA and no reason is required to request information.
- 8.3. Requests do not have to mention FOISA but they do have to be in a permanent form i.e. email, letter, fax, audio, or video tape. The Service has a legal duty to assist persons requesting information by directing their request and/or defining the information they need. All requests for information under the FOISA should be directed to the Corporate Affairs and Engagement Team at National Headquarters.
- 8.4. The Service has a legal duty to assist persons requesting information by directing their request and/or defining the information they need. All requests for information under the FOISA should be directed to the Corporate Affairs and Engagement Team at National Headquarters



8.5. The Service must respond to requests within 20 working days.

8.6. If the request is rejected the Service must specify in writing the reasons why the request cannot be fulfilled.

8.7. While most information the Service holds is available for release under FOISA some exemptions exist, for example:

- Personal information (which falls under the Data Protection Act 2018) \*
- Confidential health and social care Information (which falls under the Data Protection Act 2018)
- Commercially sensitive information\*
- Court records
- Information prejudicial to national security

These exemptions are “qualified” exemptions which means information may be released in the public interest, therefore, always seek advice BEFORE releasing ANY personal information.

## 9. Audit & Training

### 9.1. AUDIT

9.1.1. Regular audits will be carried out by external auditors on compliance with the Service’s policy on records. Areas to be targeted will be in accordance with the auditors’ assessment of level of potential risk to Scottish Ambulance Service business.

9.1.2. The Director of Finance will be responsible for audit arrangements. Audit reports and any remedial action plans will be passed to Scottish Ambulance Service Audit Committee

### 9.2. TRAINING

9.2.1. Staff will receive training as deemed appropriate by their departmental manager and this will be recorded in their personnel file including information on the date of attendance and contents of the training.

9.2.2. Update sessions will be offered as appropriate to the requirements of their role taking cognisance of any new legislation

## ADMINISTRATIVE RECORDS RETENTION SCHEDULES

### 1. Communications

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>1</b>	<b>Communications</b>			
<b>1.1</b>	<b>Communication Services</b>			
1.1.1	Campaigns (including marketing) – final outputs	Conclusion of campaign	3 years	Relates to campaign workings i.e. adverts/documents/artwork.  Consider transfer to archive
1.1.2	Corporate Identity and Branding – artwork	Superseded	Permanent	Consider transfer to archive
1.1.3	Diaries – non-clinical (paper and electronic)	End of diary year	2 years	
1.1.4	Language translation services	End of current year	3 years	
1.1.5	Photographs – corporate and publicity	Date of photograph	10 years	Photographs which would be considered of historical significance should be kept.  Consider for transfer to archive

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>1</b>	<b>Communications</b>			
1.1.6	Publications – major publications (guides, books and other publications)	Date published	Permanent	Retain one set of records only – copies to be destroyed once business use concluded.  Consider for transfer to archive
<b>1.2</b>	<b>Conference</b>			
1.2.1	Conferences – proceedings, routine paperwork, attendance and presentations	End of Conference	Destroy after conference if no longer required	The authority may wish to keep the correspondence longer for its own business purposes  Significant national conference papers should be considered transfer to archive
<b>1.3</b>	<b>Consultations</b>			
1.3.1	Consultations – responses to external consultations	End of consultation	3 years	
<b>1.4</b>	<b>Customer Engagement</b>			

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

## 2. Corporate Governance

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>2</b>	<b>Corporate Governance</b>			
<b>2.1</b>	<b>Adverse Events</b>			
2.1.1	Incidents (not serious – adverse events (category II and III))	Closure of investigation	10 years	Review and if no longer needed destroy  See 3.3.3 for incidents concerning Control of Substances Hazardous to Health Regulation (COSHH)
2.1.2	Incidents (serious – adverse events (category I)) (SAERS)	Closure of investigation	Permanent	Consider for transfer to archive
<b>2.2</b>	<b>Board and Formal Decision Making</b>			
2.2.1	Board and Sub-Committees Meetings – minutes and papers	Date of creation	Permanent	Main committees and sub-committees of NHS Boards and special Health Boards and other meetings of significance for legal, administrative or historical reasons.  Consider for transfer to archive
2.2.2	Board Meetings (closed sessions)	Date of creation	Permanent	Consider for transfer to archive

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>2</b>	<b>Corporate Governance</b>			
2.2.3	Chief Executive Records	Date of creation	May retain for 20 years	Emails and correspondence should be retained and transferred to an appropriate archival facility if they are considered of archival interest
	Board Members register of interests	Register entry date	6 years	
2.2.4	Committees / Groups / Sub-Committees / Department Meetings not listed in the scheme of delegation to the Board	Date of creation	6 years	Includes minor meetings/projects and departmental business meetings
2.2.5	History of Boards or their predecessor organisations	Date of creation	Permanent	Consider for transfer to archive
2.2.6	History of hospitals	Date of creation	Permanent	Consider for transfer to archive
2.2.7	Hospital service files	Date of creation	Permanent	Consider for transfer to archive
2.2.8	Register of Seals	Date of creation	Permanent	Consider for transfer to archive
<b>2.3</b>	<b>Complaints</b>			
2.3.1	Complaint case file without litigation – adults	Closure of complaint	7 years	The complaint is not closed until all subsequent process have ceased. The file must not be kept on the patient file. A separate file must always be maintained.

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

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



	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>2</b>	<b>Corporate Governance</b>			
				Consider for transfer to archive.
2.6.12	Data Subject Access Request (DSAR) and disclosure correspondence	Closure of SAR	3 years	
2.6.13	Subject Access Request where there has been a subsequent appeal	Closure of appeal	6 years	
<b>2.7</b>	<b>Legal Support</b>			
2.7.1	Litigation file/record (adult)	Date case settled or dropped	7 years	
2.7.2	Litigation file/record (child)	Date case settled or dropped	Until child is 19 or 7 years after case settled or dropped, whichever is later	The Prescription and Limitation (Scotland) Act 1973 s17(3) and Aged of Legal Capacity (Scotland) Act 1991 s1 provide that in the case of injury suffered by a child time does not begin to run until she/he attains legal capacity which is 16. 16 years + 3 years limitation
2.7.3	Board arrangements legally administered by NHS organisations – documents describing terms of foundation / establishment and winding-up	Date of creation	Permanent	Consider for transfer to archive

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>2</b>	<b>Corporate Governance</b>			
2.7.4	Board arrangements legally administered by NHS organisations – other documents	End of financial year	6 years	
<b>2.8</b>	<b>Quality and Performance</b>			
2.8.1	Non-Clinical quality assurance records, including ‘quality improvement tools/records’	End of year to which the assurance relates	12 years	
<b>2.9</b>	<b>Research and Development</b>			
2.9.1	Research and development findings by Board Staff (scientific, technological and medical)	Date of creation	Consider findings and reports for archival preservation	Supporting records should be retained in line with the appropriate clinical, pharmaceutical, laboratory or other research standards, as set out by funding and professional bodies.  Consider for transfer to archive
<b>2.10</b>	<b>Risk Management and Insurance</b>			
2.10.1	Business continuity planning	Date superseded	5 years	
2.10.2	Certificate of Insurance – employers liability insurance (CNORIS)	Date all obligations and entitlements concluded	Permanent	Prescription and Limitations (Scotland) Act 1973 and 1984.  Consider for transfer to archive

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>2</b>	<b>Corporate Governance</b>			
2.10.3	Insurance policy documentation / certificates of insurance	Date all obligations and entitlements concluded	Permanent	Prescription and Limitations (Scotland) Act 1973 and 1984.  Consider for transfer to archive
2.10.4	Risk Register – the assessment of risks	Date superseded	5 years	Consider for transfer to archive
<b>2.11</b>	<b>Strategic Planning</b>			
2.11.1	Corporate Plan / Strategic Service Plan	Superseded	Permanent	Consider for transfer to archive
<b>2.12</b>	<b>Service Planning</b>			
2.12.1	Activity monitoring reports	Date agreement ended	6 years	
2.12.2	Area health plans	Date superseded	Permanent	Consider for transfer to archive
2.12.3	Databases - demographic and epidemiological based on data supplied by NHS National Services Scotland	Date superseded	20 years	In accordance with general policies of NHS National Services Scotland Information Services, and any specific terms and conditions imposed by them in relation to particular data sets

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>2</b>	<b>Corporate Governance</b>			
2.12.4	Databases – demographic and epidemiological based on survey data	End of survey	20 years	May be retained indefinitely if data quality and potential for future reuse justifies cost of migration / regeneration to new formats and platforms
2.12.5	Nursing homes pre 1 April 2002: registration documents and building plans	Date of creation	Permanent	The regulation of care services was taken over by the Care Commission on 1 April 2002.  Consider for transfer to archive
2.12.6	Patient activity data	Date superseded	3 years	
2.12.7	Service development reports	End of financial year	6 years	
2.12.8	Summary bed statistics	Date of creation	Permanent	Consider for transfer to archive
2.12.9	Waiting list monitoring reports	Date superseded	6 years	
2.12.10	Winter business plans	Date superseded	6 years	

### 3. Estates and Facilities

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>3</b>	<b>Estates and Facilities</b>			
<b>3.1</b>	<b>Asbestos</b>			
3.1.1	Asbestos register, equipment monitoring/testing and records of maintenance	Completion of monitoring or test	40 years	Control of Asbestos at Work Regulations 2012
<b>3.2</b>	<b>Maintenance &amp; Equipment – Non-clinical and Clinical</b>			
3.2.1	Cleaning schedules	End of lifetime of installation	Lifetime of installation	
3.2.2	Equipment monitoring/testing and maintenance work e.g. boiler, lifts etc	End of lifetime of installation	Lifetime of installation	Should be retained permanently if there is any measurable risk of a liability.  Consider for transfer to archive
3.2.3	Inventories (non-current) of items having an operational lifetime of less than 5 years	End of financial year	2 years	
3.2.4	Maintenance request books and logs (includes digital systems and databases)	End of financial year	2 years after financial year referred to	
3.2.5				

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>3</b>	<b>Estates and Facilities</b>			
	Manuals – operating, policies and procedures	End of lifetime of equipment	Lifetime of equipment/machinery the manual refers to	
3.2.7	Medical Equipment – decontamination records	Date of decontamination	25 years	
<b>3.3</b>	<b>Health and Safety</b>			
3.3.1	Accidents and incident reporting – reporting accidents to adults	Date of entry / Accident book – date of last entry	10 years	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013  Prescription and Limitation (Scotland) Act 1973
3.3.2	Accidents and incident reporting – reporting accidents to children	Date of birth of child	25 years	
3.3.3	Audit forms, Control of Substances Hazardous to Health Regulation (COSHH) documentation, safety risk data sheets, risk assessments and control measures etc	Date of last action	40 years	Control of Substances Hazardous to Health Regulations 2002
3.3.4	Reporting of Injuries, Disease and Dangerous Occurrences Regulations 2013 (RIDDOR) including Accident Register	Date of last entry on register	10 years	

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>3</b>	<b>Estates and Facilities</b>			
3.3.5	National Safety Alert	Date of creation	Permanent	Covers Drug Alerts, Estates & Facilities Alerts, Safety Action Notices etc.
<b>3.4</b>	<b>Property and Land Management</b>			
3.4.1	Buildings – papers relating to occupation, plans and records of major building works	Data of creation	Lifetime of the building or disposal of asset plus six years	Building plans and records of work are potentially of historical interest. Consider for transfer to archive
3.4.2	Building Project Files (£250,000 and over)	Date of creation	Permanent	Including abandoned or deferred projects.  Consider for transfer to archive
3.4.3	Building Project Files (under £250,000)	Completion / abandonment of project	6 years	
3.4.4	Capital charges data	Date of creation	3 years after completion of previous 5 years valuation term	
3.4.5	CCTV		See ICO Code of Practice	The length of the retention must be determined by the purposes for which the CCTV has been deployed. The recorded images will only be retained long enough for any incident to come to light (e.g. for a

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>3</b>	<b>Estates and Facilities</b>			
				theft to be noticed) and the incident to be investigated
3.4.6	Contaminated Land	Date of creation	Permanent	Consider for transfer to archive
3.4.7	Decommissioning of NHS Buildings – evidential documentation (e.g. clearance checklists and images)	Date of decommissioning of the building or campus	6 years	
3.4.8	Environmental Information (e.g. Environmental reports)	Date of creation	Permanent	Consider for transfer to archive
3.4.9	Green Code	Date of creation	Permanent	Consider for transfer to archive
3.4.10	Property performance	Date of creation	Permanent	Consider for transfer to archive
3.4.11	Property strategy	Date of creation	Permanent	Consider for transfer to archive
3.4.12	Records of custody and transfer of keys	Date of transfer	2 years	
3.4.13	Site Maps	Date of creation	Permanent	Duplicate site maps are not covered by the requirement to be retained permanently e.g. copies held by CLO  Consider for transfer to archive
3.4.14	Sustainability records	End of financial year	6 years	



	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>3</b>	<b>Estates and Facilities</b>			
<b>3.5</b>	<b>Property Transactions</b>			
3.5.1	Contracts and agreements	After the end of the contract	6 years	Including non-sealed (property) on termination
	Tenders (unsuccessful)	Date contract awarded to successful bidder	6 years	
3.5.2	Deeds of title	Date of creation	Permanent	Title deeds are retained on a permanent basis while the property is retained by the NHS but on disposal, the relevant title deeds are required to be transferred to the purchaser.  Consider for transfer to archive
3.5.3	Land, building and engineering construction procurement: key records (including final accounts, surveys, site plans, bills of quantities, PFI/PPP records) Town and country planning matters and all formal contract documents (including executed	Date of creation	Permanent	Inclusive of major projects abandoned or deferred.  Consider for transfer to archive

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>3</b>	<b>Estates and Facilities</b>			
	agreements, conditions of contract, specification, “as built” record drawings and documents on the appointment and conditions of engagement of private buildings and engineering consultants)			
3.5.4	Land leases, purchase and sale – deeds, maps, surveys, registers etc	Date of creation	Permanent	Consider for transfer to archive
3.5.5	Land purchased and sale – negotiations not completed	Date negotiations concluded or abandoned	6 years	
3.5.6	Property acquisition dossiers	Date of creation	Permanent	Consider for transfer to archive
3.5.7	Property contracts	Date contract ended	6 years	
3.5.8	Property disposal dossiers	Date of creation	Permanent	Consider for transfer to archive
3.5.9	Property management system	Date of creation	Permanent	Consider for transfer to archive
3.5.10	Property purchases and leases	Date of creation	Permanent	Consider for transfer to archive
3.5.11	Property title deeds	Date of creation	Permanent	Consider for transfer to archive
3.5.12	Property – terriers (NHS premises site information)	Date of creation	Permanent	Consider for transfer to archive

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>3</b>	<b>Estates and Facilities</b>			
3.5.13	Specifications for work tendered	After completion of works	6 years	
<b>3.6</b>	<b>Waste Management</b>			
3.6.1	SEPA Registrations, Licences and Consents	Date of receipt	Permanent	Consider for transfer to archive
3.6.2	Waste Consignment Notes – Controlled wastes such as clinical / healthcare and household / domestic	End of financial year	2 years	
3.6.3	Waste Consignment Notes – Special / Hazardous / Radioactive Wastes	End of financial year	3 years	
3.6.4	Duty of Care Inspection Reports	Date of creation	Permanent, or for life of external contract	Consider for transfer to archive

4. Financial Management

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>4</b>	<b>Financial Management</b>			
<b>4.1</b>	<b>Financial Provisions Management</b>			

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

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>4</b>	<b>Financial Management</b>			
4.1.6	Mortgage documents – acquisition, transfer and disposal	Date of creation	Permanent	Consider for transfer to archive
4.1.7	Register of gifts and hospitality received by individual members of staff	Register entry date	6 years	
4.1.8	Benefactions – endowments, legacies gifts etc. received by the health board	End of financial year	8 years	Consider for transfer to archive
<b>4.2</b>	<b>Financial Transactions Management</b>			
4.2.1	Bank Statements	After completion of statutory audit	3 years	
4.2.2	Cash books and sheets	End of financial year	6 years	
4.2.3	Creditor payments	End of financial year	6 years	
4.2.4	Debtor's records (cleared and un-cleared)	Date debt discharged	6 years	Prescription and Limitation (Scotland) Act 1973
4.2.5	Demand Notes	Close of financial year	6 years	
4.2.6	Expenses Claims	End of current financial year	6 years	Taxes Management Act 1970

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>4</b>	<b>Financial Management</b>			
				Keeping VAT Records HMRC Reference Notice 700/21 (October 2013)
4.2.7	Income and expenditure sheets and journals	End of financial year	3 years	
4.2.8	Invoices	End of financial year	6 years	e.g. Invoices payables (creditors), invoices receivable (debtors) and capital paid invoices
4.2.9	Non-exchequer funds records	End of financial year	6 years	
4.2.10	Receipts	End of financial year	3 years	Includes cheques bearing printed receipts
4.2.11	Records of purchasing authorisation limits	Superseded	1 year	
<b>4.3</b>	<b>Fraud Prevention</b>			
4.3.1	Inquiries involving fraud / other irregularities	Completion of court proceedings / disciplinary process	6 years	Where action is in prospect or has been commenced, consult with legal representatives and NHS Counter Fraud Services and keep in accordance with advice provided.  Taxes Management Act 1970

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>4</b>	<b>Financial Management</b>			
				Prescription and Limitation (Scotland) Act 1973
4.3.2	Internal Fraud Reports	End of financial year	6 years	
4.3.3	Annual Report to Counter Fraud Services	End of financial year	6 years	
<b>4.4</b>	<b>Payroll and Pensions</b>			
4.4.1	Pay as You Earn (PAYE) records	End of financial year	6 years	
4.4.2	Salary/Wages Records	End of current tax year	10 years	For superannuation purposes authorities, may wish to retain such records until the subject reaches pensionable age
4.4.3	Statutory Maternity Pay Scheme records	End of current tax year	3 years	The Statutory Maternity Pay (General) Regulations S.I 1986/1960 as amended by SI 2005 No.989
4.4.4	Statutory Sick Pay Scheme records	End of current tax year	3 years	Statutory Sick Pay (General) Regulations S.I 1982/894
4.4.5	Superannuation Records	End of financial year	10 years	Includes accounts – registers and forms
4.4.6	Substitute for Return (SFR) returns	End of financial year	6 years	
<b>4.5</b>	<b>Procurement</b>			

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>4</b>	<b>Financial Management</b>			
4.5.1	Approved suppliers list	Superseded	11 years	
4.5.2	Contracts sealed or unsealed	End of contract	7 years	
4.5.4	Contract management files - including: contract award letters and agreements, post-tender negotiations, service level agreements, compliance reports, performance reports, variations to contracts (revisions, extensions)	End of contract	5 years	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
4.5.5	Contracts – GP Practices and others to deliver core NHS services	Date of contract	Permanent	Consider for transfer to archive
4.5.6	Indents	End of financial year	2 years	
4.5.7	Medical equipment specifications – major items purchased	Date of purchase	Permanent	Consider for transfer to archive
4.5.8	Products – liability	Lifetime of Product	11 years	
4.5.9	Purchase ordering records (purchase orders, goods received notes)	End of current financial year	6 years	Keeping VAT records HMRC Reference: Notice 700/21 (October 2013)
4.5.10	Register of contracts	Expiration/conclusion of contract		Procurement Reform (Scotland) Act 2014. Section 35. The statutory requirement is that register entries for contracts cannot be deleted until contract expires or is terminated. The authority may choose to



	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>4</b>	<b>Financial Management</b>			
				keep the entries for a longer period for historical purposes
4.5.11	Stock control reports	Date of creation	2 years	
4.5.12	Stores – major (ledgers etc)	Date of creation	6 years	
4.5.13	Stores – minor (requisitions, issue notes, transfer vouchers, goods received books etc)	Date of creation	2 years	
4.5.14	Supplies records – minor (invitations to tender and inadmissible tenders, routine papers relating to catering and demands for furniture, equipment, stationery and other supplies)	Date of creation	2 years	
4.5.15	Tender evaluation, negotiation and notification records (successful)	End of contract	5 years	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45
4.5.16	Tender evaluation, negotiation and notification records (unsuccessful)	Award of tender	5 years	
<b>4.6</b>	<b>Taxation</b>			
4.6.1	Pay as you earn (PAYE) records	End of financial years	6 years	
4.6.2	Substitute for Return (SFR) Returns	End of financial year	6 years	
4.6.3	Tax Forms	End of financial year	6 years	

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>4</b>	<b>Financial Management</b>			
4.6.4	VAT records	End of financial year	6 years	In some instances, a shorter period may be allowed, but agreement must be obtained from HM Revenue and Customs

## 5. Human Resources

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>5</b>	<b>Human Resources</b>			
<b>5.1</b>	<b>Administering Employees</b>			
5.1.1	Disciplinary – First and Final written warning	Date of termination	6 years	Although the sanction is spent after 12 months, the information relating to the written warning requires to be kept. It forms part of the employee's record which is held for the duration of employment and 6 years after.
5.1.2	Disciplinary – Letter of Dismissal	Date of dismissal	10 years	Where action is in prospect or has been commenced, consult with legal representatives and keep in accordance with advice provided

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>5</b>	<b>Human Resources</b>			
5.1.3	Disciplinary – Records of action taken, including: Details of rules breached; Employee’s defence or mitigation; Action taken and reasons for it; Details of appeal and any subsequent developments	Date of termination	6 years	<p>The Employment Act 2002 deals with dispute resolution but does not give time limits for record retention.</p> <p>Where action is in prospect or has been commenced, consult with legal representatives and keep in accordance with advice provided</p>
5.1.4	Duty Roster / timesheets	Close of financial year	6 years	
5.1.5	Staff Records – including: personnel files, letters of application and appointment, confirmation of qualifications, contracts, joining forms, references and related correspondence, termination forms, leave cards/information	Date of termination	6 years	<p>Once the employee moves to a different post or leaves the organisation any departmental employment file should be reviewed, summarised and transferred to the Human Resources department master record.</p> <p>Where a summary is made it must contain as a minimum: a summary of the employment history with dates; pension information including eligibility; any work-related injury; any exposure to asbestos, radiation and other chemicals which may cause illness in later life; professional training history and professional</p>

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>5</b>	<b>Human Resources</b>			
				qualifications related to the delivery of care; list of buildings where the member of staff worked, and the dates worked in each location.  Upon termination of contract, records must be held at least up to their statutory retirement age. To reduce the burden of storage and for reasons of confidentiality, it is recommended that a summary be prepared and held until the employee's 75th birthday or six years after leaving whichever is the longer and then reviewed. The summary must have enough detail (refer to minimum list above).
5.1.6	Staff Training Records	Date of termination	6 years	It is recommended that the following is adhered to for staff training records:  Clinical training records to be retained until 75 <sup>th</sup> birthday or six years after the staff member leaves, whichever is the longer;  Statutory and mandatory training records to be kept for ten years after training completed;

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>5</b>	<b>Human Resources</b>			
				Other training records should be kept for six years after training completed.
	Staff Training Records – Nurses	Completion of training	30 years after completion of training	Applies only to Nurse Training carried out in hospital-based nurse training schools.  See 5.1.5 for the retention of summary information.
5.1.7	Grievances	Date of termination	6 years	
5.1.8	Referral to Professional Bodies (GMC/NMC/AHPF)	Date of termination	6 years	Consider retaining records for longer if investigation has not yet been concluded by professional body.
5.1.9	Volunteers Records including: personnel files, letters of application and appointment, confirmation of qualifications, contracts, joining forms, references and related correspondence, termination forms	Date of termination	6 years	
5.1.10	Work force placement records	Date of termination	6 years	
<b>5.2</b>	<b>Employee Engagement</b>			
5.2.1	Industrial relations (not routine – including tribunal case records)	Closure of investigation	Permanent	Consider for transfer to archive
<b>5.3</b>	<b>Occupational Health</b>			

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>5</b>	<b>Human Resources</b>			
5.3.1	Health promotion – core papers and visual materials relating to major initiatives	End of promotion	10 years	Consider for transfer to archive
5.3.2	Occupational Health Reports	Date of termination	6 years	Consider that details Occupational Health Records must be kept separate from the main staff record.
<b>5.4</b>	<b>Recruitment</b>			
5.4.1	Applications for employment – unsuccessful applicants	Date of recruitment	1 year	
5.4.2	CVs for non-executive directors – successful	End of term of office	5 years	
5.4.3	CVs for non-executive directors – unsuccessful		2 years	
5.4.4	Disclosure Scotland information	Date on which recruitment or other decisions have been taken.	90 days	90 days after the date on which recruitment or other relevant decisions have been taken.  Certification number and disclosure level can be retained as a summary record.
5.4.5	Job advertisements	Date of advert	1 year	For jobs where unusual patterns of progression are advertised, it is recommended the job advert paperwork is

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>5</b>	<b>Human Resources</b>			
				kept for the length of the progression period plus 6 years if a complain exists
<b>5.5</b>	<b>Equality and Diversity</b>			
5.5.1	Investigations – Case files	Investigation concludes, and actions is spent / Retain current information throughout employment	6 years / Employment term	
5.5.2	Equalities Papers for publication	Superseded	4 years	Equality Act 2010

6. Information & Communication Technology

	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>6</b>	<b>Information &amp; Communication Technology</b>			
<b>6.1</b>	<b>System Development</b>			

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



	Activity/Record Type	Retention Trigger – event that prompts start of retention period	Retention Period	Citation/Notes
<b>6</b>	<b>Information &amp; Communication Technology</b>			
6.3.3	Management of data in an ICT system, including the operation of routine data backup, archiving and deletion routines	End of current year	1 year	
6.3.4	Maintenance of the software licence(s) for an ICT system	Expiry/Termination of licence	5 years	Prescription and Limitation (Scotland) Act, 1973 and 1984
6.3.5	Management of an ICT system – system file (including handover documents, user guides, system support, technical and knowledge base documentation)	Decommissioning of system	5 years	
6.3.6	Register of removal/return of mobile ICT systems hardware and software from/to Board premises	Return of equipment	5 years	
6.3.7	Disposal log of arrangements for the sanitisation and disposal of institutional ICT equipment	Disposal of equipment	5 years	
<b>6.4</b>	<b>Systems User Training &amp; Support</b>			
6.4.1	Development of technical and application training and guidance for IT system users	Superseded	1 year	
6.4.2	Logging, investigation and resolution of user requests for technical and application support	Close of call	1 year	

## HEALTH RECORDS RETENTION SCHEDULES

### 1 Scope

- The following retention schedule is amended from Section 6 - The Management, Retention and Disposal of Personal Health Records of the [Scottish Government Records Management Code of Practice for Health and Social Care \(Scotland\) 2020](#) and refers to the types of health records that SAS may create, use, store, transport, retention, and destroy.
- It is likely that this section will be updated regularly, based on ongoing work within the Service.
- The retention periods below apply to all electronic data, paper forms, tape recordings and any other formats, containing patient information, completed, generated or handled by SAS staff.

### 2 Core Retention Periods

Record Type	Recommended retention period	Notes
Adult Health Record	6 years after the date of last entry or 3 years after date of death if earlier (Scottish Prescriptions & Limitations Act.)  Refer to GP Records when applicable.	Refer to GP records for notes on prisoners' records being transferred to GP files.
Adult Integrated Health and Social Care Records	Longest retention period amongst regulations applicable to the	In cases where a record is held jointly by health professionals and by social care professionals the record should be retained for the longest period for that type of record, i.e. if social care has a

Record Type	Recommended retention period	Notes
	partnership (e.g. IJBs) or the individual partners.	<p>longer retention period than health, then the record should be kept for the longer period.</p> <p>The SCARRS 2 Retention Schedule includes a range of timescales for different types of Adult Social Care Records. There is no single retention period for all the record types.</p> <p><a href="http://www.scottisharchives.org.uk/scarrs/schedules">http://www.scottisharchives.org.uk/scarrs/schedules</a>.</p> <p>e.g. Integrated Mental Health Case Records – where service user was sectioned under the Mental Health Act. Retain 20 Years from date of last contact or 3 years after death.</p>
Children’s Health Records	Retain until the patient’s 25 <sup>th</sup> birthday or 26 <sup>th</sup> if young person was 17 at conclusion of treatment or 3 years after death.	<p>It is recommended retaining deceased children patient records for the same period as live patients. Paediatricians have requested that these are retained, both considering the Child Abuse Inquiry and to enable the availability of records to assist in the treatment of siblings.</p> <p>The definition of a Children’s records does not include CAHMS as these fall within Mental Health.</p>
GP Patient records <b>MASTER PATIENT RECORD</b>	Retain for the lifetime of the patient and for 3 years after their death.	Where the patient does not come back to the practice and the records are not transferred to a new provider, the record must be retained for 100 years. If the patient comes back within 100 years, the retention reverts to 3 years after death.

<b>Record Type</b>	<b>Recommended retention period</b>	<b>Notes</b>
(including armed forces and prisoners)		Electronic records must be kept in perpetuity.
Records where the age of the patient within the records cannot be determined	Retain for 25 years from date of recording.	Where there is a lack of information in the record, or the technology is no longer available to read the record.

### 3 Specialty Records Retention Periods

<b>Record Type</b>	<b>Recommended retention period</b>	<b>Notes</b>
Ambulance records – patient identifiable component	7 years	
Unscheduled primary care records (patient identifiable component)	7 years	Including NHS 24 unscheduled care records, and primary care out of hours services.

NHS 24 schedule care services	7 years	
NHS 24 Web Chat Interaction	Retain according to locally specified service specific retention period.	Retention periods for the web chat interaction record will vary depending on the specific service. The individual retention period for each service will be specified in the Board specific Retention Schedule.

#### 4 Clinical Trials & Research

For clinical trials record retention please see the [MHRA](https://www.tsoshop.co.uk/Medical/MHRA/Good-Clinical-Practice-Guide/?TrackID-000039) <https://www.tsoshop.co.uk/Medical/MHRA/Good-Clinical-Practice-Guide/?TrackID-000039>

Record Type	Recommended retention period	Notes
Advanced Medical Therapy Research Master File	30 years after expiry date of the product or longer if required by the Clinical Trial Authorisation	<a href="#">See</a> guidance Good Clinical Practice Guide “Grey Book” Review and consider transfer to a Place of Deposit
Clinical Trials Master File of a trial authorised under the European portal	archive content of TMF or at least 25 years after the end of the clinical trial.	<a href="http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2014.158.01.0001.01.ENG">http://eur-lex.europa.eu/legal-content/EN/TXT/?uri=uriserv:OJ.L_.2014.158.01.0001.01.ENG</a> Review and consider transfer to a Place of Deposit

under Regulation (EU) No 536/2014		The Clinical Trials Master File is not held by Research and Development – in general this is held by the Sponsor.
European Commission Authorisation (certificate or letter) to enable marketing and sale within the EU member states area	15 years from closure of trial	<a href="http://ec.europa.eu/health/files/eudralex/vol-2/a/vol2a_chap1_2013-06_en.pdf">http://ec.europa.eu/health/files/eudralex/vol-2/a/vol2a_chap1_2013-06_en.pdf</a> Review and consider transfer to a Place of Deposit
Research data sets	As approved by PBPP (Public Benefit and Privacy Panel) on research application	<a href="https://www.jisc.ac.uk/guides/records-retention-management">https://www.jisc.ac.uk/guides/records-retention-management</a> Review and consider transfer to a Place of Deposit
Research Ethics Committee's documentation for research proposal	5 years from end of research Review and consider transfer to a Place of Deposit	For details please see: <a href="http://www.hra.nhs.uk/resources/research-legislation-and-governance/governance-arrangements-for-research-ethics-committees/">http://www.hra.nhs.uk/resources/research-legislation-and-governance/governance-arrangements-for-research-ethics-committees/</a> Data must be held for sufficient time to allow any questions about the research to be answered. Depending on the type of research the data may not need to be kept once the purpose has expired. For example, data used for passing an academic exam may be destroyed once the exam has been passed and there is no further academic need to hold the data. For more significant research a

		place of deposit may be interested in holding the research. It is best practice to consider this at the outset of research and orphaned personal data can inadvertently cause a data breach.
Research Ethics Committee's minutes and papers	<p>Before 20 years from year to which they relate</p> <p>Review and consider transfer to a Place of Deposit</p>	<p>Committee papers must be transferred to a place of deposit as a public record:</p> <p><a href="http://www.hra.nhs.uk/resources/research-legislation-and-governance/governance-arrangements-for-research-ethics-committees/">http://www.hra.nhs.uk/resources/research-legislation-and-governance/governance-arrangements-for-research-ethics-committees/</a></p>

## 5 Cross-specialty records

Record Type	Recommended retention period	Notes
Admission books (paper)	8 years after the last entry	
Allied Health Professionals (AHP) Records	Retain according to core/specialty record e.g. adult/child health record	
Clinical Audit	5 years	

<b>Record Type</b>	<b>Recommended retention period</b>	<b>Notes</b>
Clinical Diaries	2 years	It is not good practice record patient identifiable information in diaries. Patient relevant information should be transferred to the patient record.
Clinical Protocols	25 years	
Destruction Certificates in relation to health records	Permanently Electronic – archival preservation in Archives.	Records of destruction of individual health records and other health records contained in this retention schedule, including Electronic records, Metadata, destruction stubs, records of clinical information held on destroyed physical media.
Photographs	Retain according to core/specialty record e.g. adult/child health record	
Private patient records admitted under section 57 of the National Health Service (Scotland) Act 1978 etc	Retain according to core/specialty record e.g. adult/child health record	
Recorded conversation which may be later needed	3 years from creation	



Record Type	Recommended retention period	Notes
for clinical negligence purpose		
Scanned records relating to patient care	Retain according to core/specialty record e.g. adult/child health record	
Telemedicine records (clinician to patient)	Retain according to core/specialty record e.g. adult/child health record	
Video records/voice/screen recordings (clinician to patient)	Same retention as main record (child/adult/specialty) Or 7 years (triage output transferred to patient record)	Where the primary purpose of the voice recording is for patient triage and the output is recorded within the patients GP record (which is then retained according to the standard minimum retention period for the patient/specialty at pages 46-47) the audio recording need only be retained for 7 years