

RECORD RETENTION SCHEDULE

This is a guide, we aim to be as accurate as possible it is your organisations responsibility to check this information from the most up to date sources identified.

Key: *NHS Code of Practice Part 2 January 2009 – Green*
CQC Essential Standards of Quality & Safety March 2010 – Blue

NOTE: *The Data Protection Act 1998 – Principle 5 Retaining Personal Data – does not set out any specific minimum or maximum periods for retaining personal data but states that “personal data processed for any purpose shall not be kept for longer than is necessary for a particular purpose or purposes”.*

DOCUMENT	RETENTION PERIOD	EXTRA INFORMATION	SOURCE	CHECK DATE
HUMAN RESOURCE				
Sickness / Sick Pay	3 years after the end of the tax year to which they relate With effect from 6 April 2014 employers are no longer required to keep sick absence records but do need to keep records to show SSP has been paid to employees	Statutory	The Statutory Sick Pay (General) Regulations 1982 (SI 1982/894) as amended http://www.legislation.gov.uk/ukxi/1982/894/contents/made http://www.hmrc.gov.uk/manuals/spmmanual/spm11005.htm Statutory Sick Pay (SSP): employer guide – gov.uk https://www.gov.uk/employers-sick-pay/entitlement	01.07.14

DOCUMENT	RETENTION PERIOD	EXTRA INFORMATION	SOURCE	CHECK DATE
Maternity Leave / Pay	3 years after the end of the tax year to which they relate	Statutory	The Statutory Maternity Pay (General) Regulations 1986 (SI 1986/1960) as amended http://www.legislation.gov.uk/ukSI/1986/1960/contents/made Statutory Maternity Pay and Leave: employer guide – gov.uk https://www.gov.uk/employers-maternity-pay-leave/records	01.07.14
Parental Leave	5 years from birth/adoption of the child or 18 years if the child receives a disability allowance	Not statutory The Maternity and Parental Leave etc. and the Paternity and Adoption Leave (Amendment) Regulations 2008 (SI 2008/1966)	http://www.cipd.co.uk/ Retention of HR Records Factsheet	01.07.14
Wages / Salary / PAYE	6 years recommended after the end of the tax year to which they relate 3 years minimum	Statutory Taxes Management Act 1970	http://www.cipd.co.uk/ Retention of HR Records Factsheet http://www.hmrc.gov.uk/payerti/payroll/record-keeping.htm	01.07.14
National Minimum Wage	3 years after the end of the pay reference period following the one that the records cover	Statutory National Minimum Wage Act 1998	http://www.cipd.co.uk/ Retention of HR Records Factsheet	01.07.14

DOCUMENT	RETENTION PERIOD	EXTRA INFORMATION	SOURCE	CHECK DATE
Working Time	2 years from the date on which they were made	Statutory The Working Time Regulations 1998	http://www.cipd.co.uk/ Retention of HR Records Factsheet	01.07.14
Applications Forms and Interview Notes for unsuccessful candidates	6 months to 1 year 1 year recommended	Not statutory In case of any discrimination challenge	http://www.cipd.co.uk/ Retention of HR Records Factsheet	01.07.14
CRB disclosures / DBS Certificate	No longer than necessary Guidance states 6 months after recruitment decision – see Guidance for exceptions	Check with Regulating Authority, may wish to check before destroyed	DBS Code of Practice April 2009 www.gov.uk/government/publications/dbs-code-of-practice	01.07.14
Personnel Files	6 years after employment ceases	Not statutory	http://www.cipd.co.uk/ Retention of HR Records Factsheet	01.07.14
Training Records	6 years after employment ceases	Not statutory	http://www.cipd.co.uk/ Retention of HR Records Factsheet	01.07.14
Disciplinary Records	6 years after employment ceases	Not statutory	http://www.cipd.co.uk/ Retention of HR Records Factsheet	01.07.14
Redundancy	6 years from the date of redundancy	Not statutory	http://www.cipd.co.uk/ Retention of HR Records Factsheet	01.07.14
Duty Rosters	4 years after the year to which they relate		CQC Essential Standards of Quality and Safety March 2010 Reg. 20 Outcome 21 CQC 2010 page 172	03.07.14

DOCUMENT	RETENTION PERIOD	EXTRA INFORMATION	SOURCE	CHECK DATE
General Operating Policies & Procedures	Current version and previous version for 3 years		CQC Essential Standards of Quality and Safety March 2010 Reg. 20 Outcome 21 CQC 2010 page 172	03.07.14
Pensions – Worker / Jobholder and Pension Scheme Records	Minimum of 6 years 4 years for opt-out records	Records that must be kept by law under the new employer duties	http://www.thepensionsregulator.gov.uk/employers/record-keeping.aspx The Pensions Regulator - Detailed Guidance for Employers – Publication 9 Keeping Records	07.07.14

NOTE: There are no definitive retention periods for personnel records therefore recommendations are based on the 6 year time limit within which legal proceedings must be commenced under The Limitation Act 1980. It is up to the employer's judgement how long after this time they are kept.

NOTE: As the framework for Work-based Pension Schemes develops, there are implications for all employers to keep some aspects of personnel and financial records for longer periods of time e.g. until the retirement age of the employee.

DOCUMENT	RETENTION PERIOD	EXTRA INFORMATION	SOURCE	CHECK DATE
ACCOUNTING & FINANCIAL				
Accounting documents for a Public Limited Company	6 years from the date on which they are made Recommend 6 years plus	To cover the time limit for bringing any civil legal action against you, including national minimum wage claims and contractual claims	Section 388 of the Companies Act 2006 (SI 2006/46) http://www.legislation.gov.uk/ukpga/2006/46/section/388 www.hmrc.gov.uk/manuals/chmanual/ch14600.htm	07.07.14
Accounting documents for a Private Company	3 years from the date on which they are made Recommend 6 years plus	Good practice recommends 6 years from the end of the year they relate to	Section 388 of the Companies Act 2006 (SI 2006/46) http://www.legislation.gov.uk/ukpga/2006/46/section/388 www.hmrc.gov.uk/manuals/chmanual/ch14600.htm	07.07.14
Accounting documents for a Private Limited Company	At least 6 years from the end of the last company financial year they relate to May need to keep records longer in certain circumstances Recommend 6 years plus	HMRC can levy a fine if accounting records are not kept To cover the time limit for bringing any civil legal action against you, including national minimum wage claims and contractual claims	www.hmrc.gov.uk/manuals/chmanual/ch14600.htm www.gov.uk/running-a-limited-company/company-and-accounting-records	07.07.14

DOCUMENT	RETENTION PERIOD	EXTRA INFORMATION	SOURCE	CHECK DATE
Sole Trader or Partnership	Business records for 5 years after the online tax return deadline to which they relate May need to keep records longer in certain circumstances Recommend 6 years plus		www.hmrc.gov.uk/sa/rec-keep-self-emp.htm www.hmrc.gov.uk/sa/rec-keep-part-partners.htm	07.07.14
VAT Records	6 years minimum Recommend 6 years plus	HMRC can charge a penalty if VAT records are not kept	www.hmrc.gov.uk/vat/managing/returns-accounts/accounts.htm	07.07.14
Tax Records	6 years minimum from the end of the Tax accounting period May need to keep records longer in certain circumstances Recommend 6 years plus	HMRC can charge a penalty if company tax records are not kept	www.hmrc.gov.uk/ct/managing/record-keeping.htm http://www.hmrc.gov.uk/factsheet/record-keeping.pdf	07.07.14
Pensions – Worker / Jobholder and Pension Scheme Records	Minimum of 6 years 4 years for opt-out records	Records that must be kept by law under the new employer duties	http://www.thepensionsregulator.gov.uk/employers/record-keeping.aspx The Pensions Regulator - Detailed Guidance for Employers – Publication 9 Keeping Records	07.07.14

NOTE: Whilst there are prescribed minimum retention periods for accounting and financial records, it is recommended to keep these for longer in case of tax investigations or pension queries.

NOTE: As the framework for Work-based Pension Schemes develops, there are implications for all employers to keep some aspects of personnel and financial records for longer periods of time e.g. until the retirement age of the employee.

DOCUMENT	RETENTION PERIOD	EXTRA INFORMATION	SOURCE	CHECK DATE
CLIENTS				
Children's Homes Children's Files Social Care records for children	For at least 75 years from the date of birth of the child to whom it relates or, if the child dies before attaining the age of 18, for a period of 15 years from the date of death or the last date of entry	CQC Essential Standards of Quality and Safety page 173 recommends 80 years	The Children's Homes Regulations 2001 (amended 2011) Regulation 28(3) http://www.legislation.gov.uk/ukxi/2001/3967/contents/made At the time of publication the Children's Social Care part of gov.uk is being rebuilt	11.07.14
Children's Homes other records	For at least 15 years from the date of the last entry		The Children's Homes Regulations 2001 (amended 2011) Regulation 29(2) (Schedule 4) http://www.legislation.gov.uk/ukxi/2001/3967/contents/made At the time of publication the Children's Social Care part of gov.uk is being rebuilt	11.07.14
Care Homes for Adults with or without nursing Social Care records for adults	For no less than 3 years from the date of the last entry	Any incidents, maintenance, staff issues should also be held for at least 3 years plus	CQC Essential Standards of Quality and Safety March 2010 Reg. 20 Outcome 21 CQC 2010 page 173	03.07.14
Community Based Services for people with Learning Disability, Substance Misuse	For no less than 3 years from the date of the last entry	Any incidents, maintenance, staff issues should also be held for at least 3 years plus	CQC Essential Standards of Quality and Safety March 2010 Reg. 20 Outcome 21 CQC 2010 page 173	03.07.14

DOCUMENT	RETENTION PERIOD	EXTRA INFORMATION	SOURCE	CHECK DATE
Domiciliary Care Agencies	For no less than 3 years from the date of the last entry		Domiciliary Care Agencies Regulations 2002 (SI 2002.3214) Regulation 19 www.legislation.gov.uk/ukxi/2002/3214/contents/made	11.07.14
Money or Valuables deposited for safe keeping	3 years		CQC Essential Standards of Quality and Safety March 2010 Reg. 20 Outcome 21 CQC 2010 page 172	03.07.14
Counselling Records	20 years after the last entry or 8 years after the patient's death if the patient died while in the care of the organisation		NHS Code of Practice Part 2 (2 nd Edition) January 2009	03.07.14
Children & Young People (all types of records relating to children and young people)	Retain until the patient's 25 th birthday or 26 th if young person was 17 at conclusion of treatment, or 8 years after death	If the illness or death could have potential relevance to adult conditions or have genetic implications, the advice of clinicians should be sought as to whether to retain the records for a longer period. Destroy under confidential conditions.	NHS Code of Practice Part 2 (2 nd Edition) January 2009	03.07.14

DOCUMENT	RETENTION PERIOD	EXTRA INFORMATION	SOURCE	CHECK DATE
Children & Family Guidance	Retain for the period of time appropriate to the patient/speciality, e.g. children's records should be retained as per the retention period for the records of Children and Young People; mentally disordered person (within the meaning of the Mental Health Act 1983) 20 years after the last entry or 8 years after the patient's death if patient died while in the care of the organisation	Destroy under confidential conditions.	NHS Code of Practice Part 2 (2 nd Edition) January 2009	03.07.14
Learning Difficulties – (records of patients with) Learning Disabilities NB A general learning disability is not a mental illness – it is a life-long condition, which can vary in degree from mild to profound	Retain for the period of time appropriate to the patient/speciality, e.g. children's records should be retained as per the retention period for the records of Children and Young People; mentally disordered person (within the meaning of the Mental Health Act 1983) 20 years after the last entry or 8 years after the patient's death if patient died while in the care of the organisation	Destroy under confidential conditions.	NHS Code of Practice Part 2 (2 nd Edition) January 2009	03.07.14

DOCUMENT	RETENTION PERIOD	EXTRA INFORMATION	SOURCE	CHECK DATE
Death – Cause of, Certificate counterfoils	2 years	Destroy under confidential conditions.	NHS Code of Practice Part 2 (2 nd Edition) January 2009	03.07.14
Records/documents related to any form of litigation Litigation dossiers (complaints including accident/incident reports)	10 years minimum Should review 10 years after the file is closed	As advised by the organisation's legal advisor. All records to be reviewed. Where a legal action has commenced, keep as advised by legal Representatives.	NHS Code of Practice Part 2 (2 nd Edition) January 2009	03.07.14
GP Records	Maternity records – 25 years after last live birth. Records relating to children & young people (including paediatric vaccination and community child care health service records) – until the patient's 25 th birthday or 26 th if an entry was made when the young person was 17 or 10 years after death of patient if sooner. Records relating to persons receiving treatment for medical	Destroy under confidential conditions. In the case of a child if the illness or death could have potential relevance to adult conditions or have genetic implications for the family of the deceased, the advice of clinicians should be sought as to whether to retain the records	NHS Code of Practice Part 2 (2 nd Edition) January 2009	03.07.14

	<p>disorder within the meaning of the Mental Health Act 1983 – 20 years after the date of last contact; or 10 years after patient’s death if sooner. NB GPs may wish to keep mental health records for up to 30 years before review. They must be kept as complete records for the first 20 years but records may then be summarised and kept in summary format for the additional 10 year period.</p> <p>All other patients – 10 years after their death or after the patient has permanently left the country unless the patient remains in the European Union.</p> <p>Electronic patient records (EPRs) must not be destroyed, or deleted, for the foreseeable future.</p>	<p>for a longer period.</p> <p>Destroy under confidential conditions.</p>		
--	---	---	--	--

DOCUMENT	RETENTION PERIOD	EXTRA INFORMATION	SOURCE	CHECK DATE
CONTRACTS				
Government Departments & Agencies - Contracts	6 years after the end of the contract	A risk assessment should be undertaken before being destroyed	www.nationalarchives.gov.uk Records Management retention scheduling 5. Contractual records	14.07.14
Government Departments & Agencies - Contracts under seal / Deeds	12 years	A risk assessment should be undertaken before being destroyed	www.nationalarchives.gov.uk Records Management retention scheduling 5. Contractual records	14.07.14
INSURANCE				
Employers' Liability	The requirements to retain compulsory employers' liability certificates for 40 years ceased on 1 October 2008 however it is advised to continue to keep this long in case of claims	Tracing Code of Practice includes a commitment from Insurers to keep employers' liability records for 60 years	http://www.hse.gov.uk/Pubns/hse40.pdf http://www.dwp.gov.uk/docs/codedocument.pdf	14.07.14

DOCUMENT	RETENTION PERIOD	EXTRA INFORMATION	SOURCE	CHECK DATE
HEALTH & SAFETY				
Health Records for Hazardous Substances (e.g. Asbestos, Chemicals)	Minimum 40 years from the date of the last entry	Good practice as a personal liability claim can be brought Brief guide to COSHH http://www.hse.gov.uk/pubns/indg136.pdf	The Control of Substances Hazardous to Health Regulations 1999 and 2002 (COSHH) (SI 1999/437 and 2002/2677) as amended http://www.legislation.gov.uk/ukxi/1999/437/contents/made http://www.legislation.gov.uk/ukxi/2002/2677/contents/made	14.07.14
Accident Books Accident Records / Reports Record of any reportable injury, disease or dangerous occurrence (RIDDOR)	Minimum 3 years from the date on which it was made If the record relates to a person under 18 years of age, retain for 3 years from age 18 until age 21	Brief guide to RIDDOR http://www.hse.gov.uk/pubns/indg453.pdf	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR) (SI 1995/3163) as amended http://www.legislation.gov.uk/ukxi/1995/3163/contents/made	14.07.14
Incidents, events or occurrences that require notification to the Care Quality Commission	3 years		CQC Essential Standards of Quality and Safety March 2010 Reg. 20 Outcome 21 CQC 2010 page 172	03.07.14

DOCUMENT	RETENTION PERIOD	EXTRA INFORMATION	SOURCE	CHECK DATE
Maintenance of Premises	3 years		CQC Essential Standards of Quality and Safety March 2010 Reg. 20 Outcome 21 CQC 2010 page 172	03.07.14
Maintenance of Equipment	3 years		CQC Essential Standards of Quality and Safety March 2010 Reg. 20 Outcome 21 CQC 2010 page 172	03.07.14
Electrical Testing	3 years		CQC Essential Standards of Quality and Safety March 2010 Reg. 20 Outcome 21 CQC 2010 page 172	03.07.14
Fire Safety	3 years		CQC Essential Standards of Quality and Safety March 2010 Reg. 20 Outcome 21 CQC 2010 page 172	03.07.14
Water Safety	3 years		CQC Essential Standards of Quality and Safety March 2010 Reg. 20 Outcome 21 CQC 2010 page 172	03.07.14
Medical Gas Safety, Storage and Transport	3 years		CQC Essential Standards of Quality and Safety March 2010 Reg. 20 Outcome 21 CQC 2010 page 172	03.07.14
Purchasing of Medical Devices and Medical Equipment	11 years		CQC Essential Standards of Quality and Safety March 2010 Reg. 20 Outcome 21 CQC 2010 page 172	03.07.14

<i>DOCUMENT</i>	<i>RETENTION PERIOD</i>	<i>EXTRA INFORMATION</i>	<i>SOURCE</i>	<i>CHECK DATE</i>
AUDIT				
Clinical Audit Records	5 Years	Destroy under confidential conditions	NHS Code of Practice Part 2 (2 nd Edition) January 2009	03.07.14
Records of destruction of individual health records (case notes) and other health-related records contained in this retention schedule (in manual or computer format)	Permanently		NHS Code of Practice Part 2 (2 nd Edition) January 2009	03.07.14
External quality control records	2 years		NHS Code of Practice Part 2 (2 nd Edition) January 2009	03.07.14
Internal quality control records	10 years	Consumer Protection Act 1987	NHS Code of Practice Part 2 (2 nd Edition) January 2009	03.07.14