

Disposal Schedule

A. Work Area - Accident / Incidents / Untoward Events

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|------------------------------------|---|--|---------------------|
| A1 | Accident Register | 10 Years (see also A3) | | Determine on Review |
| A2 | Record sheets/book, Forms, Reports | 10 years from the occurrence or last entry or until the patient's 25 th birthday whichever is the later. (see also A3) | | Destroy |
| A3 | Adverse Incidents | 10 years normal review process.. | SECCOR-85-2010 | Determine on Review |
| | | Where the adverse incident relates to blood the records should be kept for 15 years. | Blood Safety and Quality Regulations(BSQR) 2005 http://www.legislation.gov.uk/uksi/2005/50/contents/made http://www.legislation.gov.uk/uksi/2005/1098/contents/made http://www.legislation.gov.uk/uksi/2005/2898/contents/made | Determine on Review |
| | | Where the adverse incident refers to organ donation through to transplantation see G98 | https://www.hta.gov.uk/faqs/organ-donation-and-transplant-faqs http://www.legislation.gov.uk/uksi/2007/1523/pdfs/uksi_20071523_en.pdf | Determine on Review |
| | | Where the incident has resulted in litigation the records relating to the litigation should be managed as per GMGR Section I1. | | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|---|---------------------|
| | | <p>Where the incident has resulted in any form of disciplinary proceedings the personnel records should be managed as per GMGR Section L13</p> <p>Independent contractors should seek their own legal advice.</p> | | Determine on Review |
| | | <p>NIAIC Adverse Incident Investigation/advice and guidance – 10 years after closure of investigation/ issue of advice or guidance</p> | | |
| A4 | Homicide/'serious untoward incident' records | 30 years | | Determine on Review |
| A5 | Emergency Plans /Major Incident Plans/business continuity plans | 8 years after the plan is superseded or where it has been put into action 8 years after the event. | | Determine on Review |
| A6 | Record sheets/book, Forms, Reports (where litigation has commenced) | Where a legal action has commenced, records should be managed as per GMGR Section I1. | | Determine on Review |
| A7 | (RIDDOR) register | 3 years from the occurrence. | Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Northern Ireland) 1997 | Destroy |

B. Work Area - Complaints

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|--|----------------------|
| B1 | Enquiries which do not give rise to formal complaints | 3 years | www.nationalarchives.gov.uk/documents/sched_complaints.pdf | Destroy |
| B2 | Correspondence, investigation and outcomes | <p>Review 10 years from completion of the action. Files should be reviewed in accordance with the principles in part 1.</p> <p>No less than 15 years for complaints dealt with under the Residential Family Centres Regulations (NI) 2007</p> <p>Where the complaint has resulted in litigation the records relating to the litigation should be managed as per GMGR Section I1.</p> <p>Where the complaint has resulted in any form of disciplinary proceedings the personnel records should be managed as per GMGR Section L15.</p> <p>Where more than one retention period applies the longest of them should be used.</p> | www.nationalarchives.gov.uk/documents/sched_complaints.pdf | Determine on review. |
| B3 | Complaints investigated under the Representations Procedure (Children) Regulations (NI) 1996 in respect of: | These records are the records relating to the investigation of the complaint which should be kept separate from the case record. The case record should however contain a note that a complaint under the regulations was made, a broad outline on the nature of the complaint, its outcome, and where the investigation records are retained. | Representations Procedure (Children) Regulations (NI) 1996 | Determine on review. |
| | A looked after child | 75 years from date of birth of the child to whom it relates or, if the child dies before age 18, then for a period of 15 years beginning with the date of his/her death. | Representations Procedure (Children) Regulations (NI) 1996 | Determine on review. |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|--|----------------------|
| | A Child in Need | 20 years after closure of case. | Representations Procedure (Children) Regulations (NI) 1996 | Determine on review. |
| | Child Protection | 75 years after closure or 15 years after death of child if child dies before attaining the age of 18. | Representations Procedure (Children) Regulations (NI) 1996 | Determine on review. |
| B4 | Returns made to the Department (CH8 statistics) | See GMGR Section Q1. | | Destroy |

C. Work Area - Contracts / Service Level Agreements

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|---------------------|
| C1 | Approval files | 15 years | | Determine on Review |
| C2 | Approval files (contracts) | 6 years after end of the year the contract expired | | Destroy |
| C3 | Approved suppliers lists | An active document updated regularly - 11 years following each update | Consumer Protection (Northern Ireland) Order 1987 Where the records are potentially relevant to the issue of proceedings by an organisation legislation requires retention of 10 years. However an extra year has been added to allow time for any proceedings to be served against an organisation. | Destroy |
| C4 | Contracts – non sealed (property) on termination | 6 years from date of practical completion | The Limitation (Northern Ireland) Order 1989 | Destroy |
| C5 | Contracts – non sealed (other) on termination | 6 years after termination of contract | The Limitation (Northern Ireland) Order 1989 | Destroy |
| C6 | Contracts (including capital works contracts) – sealed (and associated records) | Contracts under seal and associated records should be kept for a minimum of 15 years after the issue of the certificate of making good defects. When they reach 15 years old they should be reviewed and PRONI invited to examine them. | | Determine on Review |
| C7 | Contractual arrangements with hospitals or other bodies outside the HSC including papers relating to financial settlements made under the contract | 6 years after end of financial year to which they relate | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|--|--------------|
| C8 | Contract operation and monitoring | Records should be maintained for the same length of time as the contract (see | | Destroy |
| C9 | Contractor Applications to provide general practitioner, Dental, Ophthalmic & Pharmaceutical services | 6 years after end of contract for approvals 6 years for non-approvals. | | Destroy |
| C10 | Contractor Records | | | |
| | Ophthalmic Opticians | See GMGR Section G80 | | Destroy |
| | Dentists | See GMGR Section G29 - G33 | | Destroy |
| | Pharmacists, Pharmacy Premises | See GMGR Section M | | Destroy |
| | General Practitioners | See GMGR Section G48 | | Destroy |
| C11 | Contractors On – Call Rotas managed by HSCB | 6 years | | Destroy |
| C12 | GP retirements/moved away | 6 years after individual leaves service, at which time a summary of the file must be kept until the individual's 70th birthday or 6 years after the individual leaves the service whichever is the longer | | Destroy |
| C13 | Tenders | | | |
| | successful | Tender period plus 6 year limitation period | The Limitation (Northern Ireland) Order 1989 | Destroy |
| | unsuccessful | 6 years after the end of the financial year to which they relate (7 years) | The Limitation (Northern Ireland) Order 1989 | Destroy |

D. Work Area - Equipment

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|---|--------------|
| D1 | Records of equipment/instruments (fixed and un-fixed) including installation, specification, maintenance records and logs, records of service inspections, test records, Calibration Certificates products liability, procurement, use, modification and supply records relevant to production of products (diagnostics) or equipment, and disposal records. | Lifetime of the equipment plus 11 years | Consumer Protection (NI) Order 1987 Where the records are potentially relevant to the issue of proceedings by an organisation legislation requires retention of 10 years. However an extra year has been added to allow time for any proceedings to be served against an organisation. | Destroy |
| D2 | Daily checking of Crash Trolleys | This is a check for accounting purposes, only current and previous record require to be held. If a record of Equipment used in treatment, it may need to be kept for 11 years in line with period for litigation. (see GMGR Section D1) If check shows action required this needs to be recorded and kept for 11 years as above. | | Destroy |
| D3 | Forms – Surgical Appliances – AP1, 2, 3 and 4 | 5 years from completion of audit (see also GMGR Section G19) | | Destroy |
| D4 | Internal requests for supplies equipment. | Once approved the record will either fall into a buying order, inventory, delivery notice or approval file. The records should be placed in the appropriate file and retained for the documented period. Administrative records not appropriate for other files - retain for the current year plus 1. | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|--|--|
| D5 | Inventories (not in current use) of items having a life of less than 5 years | 1 ¹ / ₂ years or if in book form 1 ¹ / ₂ years after the last entry | | Destroy |
| D6 | Inventories of plant, vehicles and permanent or fixed equipment | Permanent | | Retain permanently within organisation |
| D7 | Inventories of furniture, medical and surgical equipment not held on store charge having a minimum of life of 5 years | Until Revised and replaced | | Destroy |
| D8 | Medical device/equipment alerts | Until reviewed or withdrawn by Northern Ireland Adverse Incident Advice Centre (NIAIC) (check MHRA website) | www.mhra.gov.uk | Destroy |
| D9 | Records relating to the security of the systems (see also GMGR Section H5 and (GMGR Section J20 security of the records)) | Decommissioning of the system plus 5 years | Approved Disposal Schedules http://www.bangor.ac.uk/ar/ro/recordsmanagement/InformationCommunicationTechnologyICTSystemsManagement-RecordsRetentionSchedule.php.en | Destroy |
| D10 | Vehicles Records relating to the purchase, maintenance, fuel logs, movement records, servicing, insurance and disposal. | Retain for the lifetime plus one year post disposal | | Destroy |

E. Work Area - Estates

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|---|--|
| E1 | <p>Biomedical Engineering</p> <p>Sterilix Endoscopic Disinfector daily water cycle test</p> <p>Sterilix Endoscopic Disinfector daily water purge test, nynhydrin test</p> | 11 years | <p>Consumer Protection (Northern Ireland) Order 1987</p> <p>Where the records are potentially relevant to the issue of proceedings by an organisation legislation requires retention of 10 years. However an extra year has been added to allow time for any proceedings to be served. against an organisation,</p> | Destroy |
| E2 | Buildings and engineering works, inclusive of major projects abandoned or deferred – key records, related to planning, construction and design(e.g. final accounts, surveys, site plans, bills of quantities). | 30 years | | Determine on Review |
| E3 | Buildings and engineering works, inclusive of major projects abandoned or deferred – town and country planning matters and all formal contract documents relating to post completion of the construction(e.g. executed agreements, conditions of contract, specifications, “as built” record drawings and documents on the appointment and conditions of engagement of private buildings and engineering consultants. | Retain permanently | | Retain permanently within organisation |
| E4 | Buildings – papers relating to occupation (but not Health and Safety information) of the building | Review 3 years after occupation ceases | | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|--|--|
| E5 | <p>Carbon Reduction Scheme</p> <p>Records relating to your first Footprint Report</p> <p>Records relating to your first Annual Report</p> <p>Records of what determined your position in the Performance League Table for the first year of the CRC scheme in which you take part.</p> <p>All other records</p> | <p>Retain for the whole time you are part of the Carbon Reduction Scheme</p> <p>Retain for the whole time you are part of the Carbon Reduction Scheme</p> <p>Retain for the whole time you are part of the Carbon Reduction Scheme</p> <p>Papers must be held for 7 years after the end of the Phase to which they relate.</p> | <p>https://crc.environment-agency.gov.uk/crcregistry/web/login?execution=e1s1</p> | Destroy |
| E6 | Deeds of Title/Title Deeds | <p>Permanent Retain while the organisation has ownership of the building unless a Land Registry certificate has been issued, in which case the deeds should be placed in an archive.</p> <p>If there is no Land Registry certificate, the deeds should pass on with the sale of the building.</p> | | Retain permanently within organisation |
| E7 | Environmental Cleanliness Audits | 10 years | | Destroy |
| E8 | Fire training records | 5 years | | Destroy |
| E9 | Fire Officers Register | 5 years | | Destroy |
| E10 | Fire Inspections | 5 years | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|--|---|
| E11 | Health and Safety Audits Health and Safety Information / documentation | 10 years Until cancelled or superseded | | Destroy |
| E12 | Inspection/Insurance reports – e.g. boilers. Lifts etc | Lifetime of an installation. Normally retain for the lifetime of an installation. However, it is necessary to assess whether obligations incurred during the lifetime may not be invoked until afterwards, in which case a judgement must be made. If there is any measurable risk of a liability in respect of installation beyond their operational lives, records of this kind should be retained indefinitely. | | Destroy |
| E13 | Land surveys/registers | 30 years | | Destroy |
| E14 | Leases, the grant of leases, easements, licences and other rights over property. | Retain for the lifetime of the ownership of any right over the property | The Limitation (Northern Ireland) Order 1989 | Destroy |
| | Leasing a property from another owner | 12 years after the lease expires | The Limitation (Northern Ireland) Order 1989 | Destroy |
| E15 | Maintenance contracts - routine | 6 years from end of contract | | Destroy |
| E16 | Maintenance requisition books/job docketts | 6 years after last entry in the book | | Destroy |
| E17 | Manuals operating/maintenance | Lifetime of equipment | | Destroy |
| E18 | Maps | Retain permanently | | Permanent Preservation within the Organisation. |
| E19 | Plans | Lifetime of Building | | Determine on |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|------|---|--|---|---------------------|
| | Building (as built), Drawings (architect signed not copies) Engineering works | | | Review |
| E120 | Property Acquisition Dossiers | Retain for the lifetime of ownership of the property | | Determine on Review |
| E21 | Property Disposal Dossiers | 30 years | | Determine on Review |
| E22 | Records relating to the security of the estate (see also GMGR Section D9, and GMGR Section J20 security of the records) | 5 years | | Destroy |
| E23 | Refrigerator temperature records | 5 years | | Destroy |
| E24 | Site files | Lifetime of site | | Destroy |
| E25 | Specifications (e.g. equipment, services) | 6 years | | Determine on Review |
| E26 | Structure plans (organisational charts) i.e. the structure of the building plans | Lifetime of Building – then review | | Determine on Review |
| E27 | Surveys – building and engineering works | Lifetime of building or installation | | Destroy |
| E28 | Security Control Systems | 6 months | The DPA does not prescribe any specific minimum or maximum retention periods which apply to all systems or footage. Retention should reflect the organisation's purposes for recording information. | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|--|---------------------------------------|
| | | | <p>The retention period should be informed by the purpose for which the information is collected and how long it is needed to achieve this purpose. It should not be kept for longer than is necessary, and should be the shortest period necessary to serve your own purpose.</p> | |
| | Access Control Swipecard System | 6 months | <p>The DPA does not prescribe any specific minimum or maximum retention periods which apply to all systems or footage. Retention should reflect the organisation's purposes for recording information. The retention period should be informed by the purpose for which the information is collected and how long it is needed to achieve this purpose. It should not be kept for longer than is necessary, and should be the shortest period necessary to serve your own purpose.</p> | Destroy |
| | Close Circuit TV Images | <p>The DPA does not prescribe any specific minimum or maximum retention periods which apply to all systems or footage. Retention should reflect the organisation's purposes for recording information. The retention period should be informed by the purpose for which the information is collected and how long it is needed to achieve this purpose. It should not be kept for longer than is necessary, and should be the shortest period necessary to serve your own purpose.</p> | <p>Information Commissioner's Code of Conduct https://ico.org.uk/media/for-organisations/documents/1542/cctv-code-of-practice.pdf</p> | <p>Destroy Erase permanently</p> |
| | Reception desk Rotas / Security Rotas | 3 years | | Destroy |
| | Visitors / Contractors Books (other than those specifically required in legislation) | 3 years | National Archives - Retention Scheduling Press and Public Relations Records | Determine on Review |

F. Work Area - Finance

Where a publicly funded organisation has been the subject of an investigation which has led to significant criticism or prosecution, the relevant records should be retained for at least 10 years from the date of conclusion of the investigation. [Addendum to DAO \(DFP\) 08/07](#).

Any records pertaining to European Union(EU) funding must, by EC Regulation, be retained for at least seven years after EU Programme spend has been completed.

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|--|--------------|
| F1 | Accounts | | | |
| | a. Minor Records Pass-books, bank statements of accounts, pay-in slips, lodgement slips counterfoils, cancelled and discharged cheques, (for cheques bearing printed receipts, see Receipts), cheque counterfoils, accounts of petty cash expenditure, travelling and subsistence accounts, minor vouchers including duplicate receipt books, income records, receipt for registered and recorded delivery mail, forms used in connection with the supply of surgical appliances, laundry lists and receipts. | 6 years after the end of the financial year to which they relate (7 years) | | Destroy |
| | b. Working Papers | 3 years (from completion of the audit) | | Destroy |
| | c. Debtors records – cleared | 2 years (from completion of the audit) | | Destroy |
| | d. Debtors records - uncleared | 6 years (from completion of the audit) | The Limitation (Northern Ireland) Order 1989 | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|---|---|
| | e. Cost Accounts | 3 years after end of financial year to which they relate | | Destroy |
| F2 | Advice notes [Delivery statement, or note advising what is in a package, or what is coming: They are usually received in advance of the invoice]. | 2 years | | Destroy |
| F3 | Annual Accounts (final one set only) | 6 years plus current year | In line with the Department of Finance and Personnel | A copy of the final published accounts should be sent to The Public Record Office of Northern Ireland |
| F4 | Asset Management | | | |
| | Asset registers – assets/equipment registers, records | 6 years after the end of the financial year in which the asset is disposed of | | Destroy |
| | Depreciation registers – records relating to the calculation of annual depreciation | 6 years after the end of the financial year in which the asset or last one in the register is disposed of | | Destroy |
| | Department's records in relation to the full disposal of a legal interest in a property asset | 7 years after the disposal of the asset | | Destroy |
| F5 | Audit records – original documents (e.g. Organisational Audits, Records Audits, Systems Audits) – Internal & External in any format (paper, electronic etc) | 3 years from the date of completion of the audit | The National Archives Internal Audit Records retention Schedule | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|---|---|
| F6 | Audit reports (including management letters, Value for Money Reports and system/final accounts memorandum) internal and external | 6 years after formal clearance by Statutory Auditor | The National Archives Internal Audit Records retention Schedule | Destroy |
| F7 | Benefactions/Endowments/Trust Fund | | | |
| | Documents relating to benefactions, special donations and memorials of any sort covered by HSC Legislation. | 6 years after the end of the financial year in which the Trust monies become finally spent | | Destroy |
| | Documents relating to benefactions, special donations and memorials of any sort covered by HSC Legislation, where the fund/capital/interest, remains permanent. | Retain - permanently | | Retain Permanently within the organisation. |
| F8 | Bills, receipts and cleared cheques | 6 years after the end of the financial year to which they relate (7 years) | | Destroy |
| F9 | Primary Care HSC Prescriptions received by the BSO | 6 years | | Destroy |
| F10 | Business Case Documentation | 6 years plus current year | In line with the Department of Finance and Personnel | Destroy |
| F11 | Budgets (including working papers, reports, virements and journals) | 2 years from completion of audit | | Destroy |
| F12 | Buying orders for Goods and Services | 6 years after the end of the financial year to which they relate (7 years) | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|--|---------------------|
| F13 | Capital Charges Data | 6 years after the end of the financial year to which they relate (7 years) | | Destroy |
| F14 | Capital Paid Invoices | 6 years following the end of the financial year to which they relate (7 years) | The Limitation (Northern Ireland) Order 1989 | Destroy |
| F15 | Cash Books | 6 years following the end of the financial year to which they relate (7 years) | The Limitation (Northern Ireland) Order 1989 | Destroy |
| F16 | Cash Sheets | 6 years following the end of the financial year to which they relate (7 years) | The Limitation (Northern Ireland) Order 1989 | Destroy |
| F17 | Clients Financial Records | | | |
| | Documents relating to the Trust Management of the finances of individuals admitted to residential or nursing homes or their own home. | 6 years following the settlement of the accounts to which they relate (7 years) | | Destroy |
| | Deeds and Correspondence relating to the transfer of property, the purchase disposal and leasing of property and the acquisition, transfer and disposal of mortgages. | See GMGR Section F33 and retain as advised by legal advisor | | Determine on Review |
| | Correspondence with legal department and solicitors | It should be noted that financial records are usually held for 6 years after the close of the financial year to which they relate. As all the bills are cleared and the remaining monies paid back to the family or solicitor after the client's death, it would be wise to retain all financial records for 6 years after that date. | | Destroy |
| F18 | Creditor payments | 6 years after end of financial year to which they relate | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|---|--------------|
| F19 | Delivery notes | 2 years following the end of the financial year to which they relate | | Destroy |
| F20 | Demand notes | 6 years following the end of the financial year to which they relate | | Destroy |
| F21 | Estimates including supporting calculations and statistics | 3 years following the end of the financial year to which they relate | | Destroy |
| F22 | Expense claims including travel and subsistence claims – claims and authorisation | 6 years following the end of the financial year to which they relate | | Destroy |
| F23 | Excess Fares | 6 years after payment ceases | | Destroy |
| F24 | Finance Statements | | | |
| | Statements /summaries /reconciliations prepared for inclusion in quarterly/annual reports | 6 years following the end of the financial year to which they relate | http://www.nationalarchives.gov.uk/documents/information-management/sched_accounting.pdf | Destroy |
| | Periodic financial statements prepared for management on a regular basis | Destroy when cumulated into quarterly/annual reports | http://www.nationalarchives.gov.uk/documents/information-management/sched_accounting.pdf | Destroy |
| | Adhoc statements | 1 year | http://www.nationalarchives.gov.uk/documents/information-management/sched_accounting.pdf | Destroy |
| F25 | Formula records for calculating employee variation of hours | 1 year after entry | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|--|----------------------|
| F26 | Fraud Report and papers used in the course of a Fraud investigation – theft, fraud, misappropriation irrecoverable debts and overpayments, write – offs. Recovery of debt, wavering of debt. | 10 years after the action/investigation is completed | Addendum to DAO (DFP) 08/07 | Determined on review |
| F27 | Funding data (including monitoring) | 6 years following the end of the financial year to which they relate Any records pertaining to European Union(EU) funding must, by EC Regulation, be retained for at least seven years after EU Programme spend has been completed | | Destroy |
| F28 | General Medical Services payments | 6 years after year end | | Destroy |
| F29 | Income and expenditure journals | 6 years following the end of the financial year to which they relate | | Destroy |
| F30 | Invoices | 6 years following the end of the financial year to which they relate | The Limitation (Northern Ireland) Order 1989 | Destroy |
| F31 | Ledger Records: including such documents as ledgers, income and expenditure journals, nominal rolls. | 6 years following the end of the last financial year to which they relate | | Destroy |
| F32 | Monitoring of Financial records | 6 years following the end of the last financial year to which they relate | | Destroy |
| F33 | Mortgage documents (acquisition, transfer and disposal) | 6 years after repayment | | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|--|--|
| F34 | Non-exchequer funds records (i.e. funding received by the organisation that does not directly relate to patient care e.g. charitable funds) | 6 years from the end of the financial year in which they are made | Part 8 of the Charities Act (NI) 2008 | Although technically exempt from the Public Records Act, it would be appropriate for authorities to treat these records as if they were not exempt. Destroy |
| F35 | Patient Monies (i.e. smaller sums of donated money) | 6 years | | Destroy |
| F36 | PAYE records | 6 years after termination of employment | | Destroy |
| F37 | Payments | 6 years after the end of the financial year to which they relate | | Destroy |
| F38 | Private Finance Initiative (PFI) | 30 years | | Determine on Review |
| F39 | Procurement of Consultants | 6 years after the end of the financial year (following closure of last part) | The National Archives – Records Management retention scheduling Accounting Records | Destroy |
| F40 | Receipt for registered and recorded delivery mail | see GMGR Section F1 | | Destroy |
| F41 | Receipts | 6 years after end of financial year to which they relate | The Limitation (Northern Ireland) Order 1989 | Destroy |
| F42 | Requisitions | 2 years (organisations may wish to review before destruction) | | Destroy |
| F43 | VAT records | 6 years following the end of the financial year to which they relate | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|-----------------------------------|---------------------|
| F44 | Value for money (VFM) | | | |
| | Reports created or instigated internally in the organisation. | 6 years following the end of the tax year to which the papers relate | | Determine on Review |
| | Reporting on financial exercises, reviews monitoring. | 6 years following the end of the tax year to which the papers relate | | Determine on Review |


G. Work Area - Health Acute and Community

These records are patient focused increasingly multi-disciplinary in nature, and could be created by any Health Care Professional e.g. Nursing, Medicine, or Allied Health Professional working either in community or acute settings.

A patient record is a collection of documents that provide an account of each episode in a patient's clinical history where they visited, sought treatment, or received care.

It can be made up of many components such as: Referral letters; Patient Personal Measurements Chart; Sleep Charts; Temperature, Pulse and Respiration charts; Weight Charts; Blood Pressure Chart; Health history; Laboratory and radiologic reports; Kardexes Notes by consultants; Examination findings; diagnosis etc.

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|-----------------------------------|--|
| G1 | Abortion | Records to be maintained within the Primary or Secondary Patient Care Record and retained for the period of time appropriate to that record. | | Destroy |
| G2 | Accident and Emergency | | | |
| | A&E records (where these are stored separately from the main patient record) | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | | Destroy See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records |
| | Accident and Emergency Registers | 8 years after the year to which they relate | | Determine on Review |
| G3 | Admission Books | 8 years after last entry | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|---|--|
| G4 | Ambulance records –patient identifiable component (including paramedic records made on behalf of the Ambulance Service) | 10 years (applies to ALL Ambulance Clinical Records) NB Where a patient is transferred to the care of another HSC organisation all relevant clinical information must be transferred to the patients' health record held at that organisation) | | Destroy |
| G5 | Angiography tapes and disks | 8 years | | Destroy |
| G6 | Asylum seekers and refugees | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | | Destroy |
| G7 | Audio tapes of calls requesting care/help | Retain taped calls for 3 years providing all relevant clinical information has been transferred to the appropriate patient record. Where the information is NOT transferred into a health record, the tapes should be retained for 10 years. | The Limitation (Northern Ireland) Order 1989  | Destroy |
| G8 | Audiology records | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | General Medical Council guidance on making and using visual and audio recordings of patients, can be found at: http://www.gmc-uk.org/guidance/current/library/making_audiovisual.asp#12 | Destroy See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records |
| G9 | Birth Notification (to Child Health Department) | Retain until the patient's 25th birthday or 26th if young person was 17 at conclusion of treatment, or 8 years after death. | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|-----------------------------------|--|
| G10 | Birth notification sheets | 10 years | | Special Review by PRONI |
| G11 | Birth registers (i.e. register of births kept by the hospital) | Lists sent to GRO on a monthly basis. 1 year | | Determine on Review |
| G12 | Body Release Forms maintained as part of the patient record | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | | As per the final action for the patient record |
| G13 | Cervical screening slides | 10 years | | Destroy |
| G14 | Chaplaincy records | 3 months | | Destroy |
| | Baptismal, Blessing, naming records, memorial cards / books | 75 years | | Transfer to PRONI |
| G15 | Child and family guidance | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | | Destroy See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|-----------------------------------|---------------------|
| G16 | Child Health Records (notification of Visitors/New Entrants either from abroad, or from within the UK from Airports, the Home Office Immigration Centre and the Housing Executive.) | <p>Database of notifications is recorded on both NIMATs and the CHS</p> <p>Where a health visitor visits the child the record of the visit should become part of the patient's record and retained until their 25th birthday or 26th birthday if an entry was made when the patient was 17 or 10 years after the patient's death if patient died while in the care of the organisation. This also applies to any other information that relates to patient care recorded by the health visitor for these purposes. Other information should be retained for a period of 2 years from the end of the year to which it relates.</p> | | Destroy |
| G17 | Child Health System – Electronic system record | 100 years | | Determine on Review |
| G18 | Children and Young people (Health Records) including school health records but see GMGR Section G77 for children's oncology records | <p>Until the patient's 25th birthday or 26th if young person was 17 at conclusion of treatment or 8 years after last entry, if longer, or 8 years after death if death occurred before 18th birthday.</p> <p>In cases where the child grows into adulthood and maintains a need for treatment in the HSC WITHOUT A BREAK OF 8 years, then the record continues into adulthood and should be kept until 8 years after the last treatment or 8 years after death.</p> <p>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 whether to retain records for longer period.</p> | | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|------------|--|--|--|---------------------|
| G19 | Clinical audit records | 5 years | | Destroy |
| G20 | Clinical Protocol (GP, in-house) | 25 years | | Destroy |
| G21 | Clinical psychology | 20 years | | Destroy |
| G22 | Consent Forms | Retain as part of the patient clinical record. | | Destroy |
| G23 | Contraception and sexual health records | See Family Planning GMGR Section G44 | | Destroy |
| G24 | Crash Trolleys – record that a check on the trolley has been completed and any subsequent action | See D2 | | Destroy |
| G25 | Death Registers (i.e. register of deaths kept by the hospital) | Lists sent to GRO on a monthly basis 2 years | | Destroy |
| G26 | Discharge books (i.e. register of those discharged by the hospital) | 8 years after last entry | | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|--|---|
| G27 | DNA (health records for patients who did not attend for appointments as out-patients) | <p>Where there is a letter or correspondence informing the healthcare professional/organisation that has referred the client/patient/service user that the person did not attend and that no further appointment has been given, retain for 2 years after the decision is made.</p> <p>Where there is no letter or correspondence informing the healthcare professional/organisation that has referred the client/patient/service user that the person did not attend and that no further appointment has been given, retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66.</p> | | <p>Destroy</p> <p>See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records</p> |
| G28 | Death Certificate Stubs | 1 year from the last stub | | Destroy |
| G29 | Dental, and orthodontic records (see GMGR Section G104 - G107 for X-Rays) | | | |
| | Community Dental Service | <p>11 years (Adults); or Until the patient's 25th birthday or 26th if young person was 17 at conclusion of treatment or 11 years after last entry, if longer, or 8 years after death if death occurred before 18th birthday</p> <p>Up to a maximum period of 30 years retention.:</p> | <p>http://www.dentalprotection.org/uk/publications/regulations/record-keeping-in-the-uk</p> | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|---|---------------------|
| | Hospital Dental Records | 8 years (Adult); or | http://www.dentalprotection.org/uk/publications/regulations/record-keeping-in-the-uk | Determine on Review |
| | | 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 Up to a maximum period of 30 years retention. | http://www.dentalprotection.org/uk/publications/regulations/record-keeping-in-the-uk | Determine on Review |
| G30 | Dental records of a serving prisoner | 11 years after release from prison | | Destroy |
| G31 | General Dental Services Patient records | 6 years | General Dental Services Regulations (Northern Ireland) 1993 as amended by the General Dental Service (Amendment) Regulations (Northern Ireland) 2008 http://www.legislation.gov.uk/nisr/2008/395/contents/made | Destroy |
| G32 | Orthodontic Records | 6 years | General Dental Services Regulations (Northern Ireland) 1993 as amended by the General Dental Service (Amendment) Regulations (Northern Ireland) 2008 http://www.legislation.gov.uk/nisr/2008/395/contents/made | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|---|--|
| G33 | Dental and Epidemiological surveys | Review after 30 years | | Determine on Review |
| G34 | De-registered patients records | Records for de-registered patients, which are received by the HSCB, should be retained for at least 10 years. After the retention period has elapsed a decision must be taken by the HSCB as to whether to destroy the records or retain them further. | | Destroy |
| G35 | Diagnostic Image Data (for diagnostic imaging undertaken in the private sector under contract to the HSC or private providers treating patients on behalf of the HSC). | Retain for the life of the National Diagnostic Imaging Services Contract and then return the data to the HSC after which the retention period in this retention schedule will apply. | National Diagnostic Imaging Services Contract; Records Management: NHS Code of Practice | Destroy |
| G36 | District nursing records | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | | Destroy See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records |
| G37 | Discharge nursing team assessments of patients' homes and nursing homes. NB The documents should be part of the patient record as they relate to the discharge of the patient. | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | | Destroy See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records |
| G38 | Donor Breast Milk Bank | | | |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|--|---|
| | Donor Milk Batch | 30 years | Para 1.2.71 National Institute for Health and Clinical Excellence Donor breast milk banks: the operation of donor milk bank services February 2010 | Destroy |
| | Donor Milk used | 30 years | Para 1.2.74 National Institute for Health and Clinical Excellence Donor breast milk banks: the operation of donor milk bank services February 2010 | Destroy |
| G39 | Drug trials, records | see GMGR Section J56 and GMGR Section J57 | | see GMGR Section J57 and GMGR Section J58 |
| G40 | Duplicate patient record notification forms | 2 years after the decision of whether or not to merge unless there is a business need to retain for longer. | | Destroy |
| G41 | Electronic Patient Clinical Records System (including the Audit Trails) developed prior to 2009 | When decommissioned retain in accessible format, including the audit trail for the retention period of the last record it contains | | Destroy |
| | Electronic Patient Clinical Records System (including the Audit Trails) developed since 2009 | Records should be deleted from the system in accordance with the appropriate speciality | | Destroy |
| G42 | Electrocardiogram (ECG) Records | 8 years, FOR children's records see GMGR Section G18, NB Each chart should be labelled with the patient's name and unique identifier. Any over-sized charts could then be stored separately where a report is written into the health records. | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|--|---------------------|
| G43 | Endoscopy Records including: Sterilix Endoscopic Disinfectant Traceability Strips, Traceability Stickers for PEG/Stents (Endoscopy) | Retain for standard retention periods i.e. 8 years for adults and in the case of children and young people retain until the patient's 25th birthday or 26th 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 |
| G44 | Family Planning (also Contraception and sexual health records) | For records of adults – retain for 10 years after last entry. For clients under 18 – retain until 25th birthday or for 10 years after last entry, whichever is the longer i.e. records for clients aged 16-17 should be retained for 10 years and records for clients under 16 should be retained until age 25 (i.e. still retained for at least 10 years). Records of deceased persons should be retained for 8 years after death. | Clinical Standards Committee, Faculty of Sexual and Reproductive Healthcare (FSRH) of the Royal College of Obstetricians and Gynaecologists NB The longest license period for a contraceptive device is 10 years www.bashh-organisations.org/communities/aga/servicespec/guidance-retention-disposal-notes-0606pdf | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|--|--------------|
| G45 | <p>Forensic medicine records (including pathology, toxicology, haematology, dentistry, DNA testing, post mortems forming part of the Coroner's report, and human tissue kept as part of the forensic record)</p> <p>See also Human tissue see GMGR Section G55, Post mortem reports see GMGR Section K.</p> | <p>For post-mortem records which form part of the Coroner's report, approval should be sought from the coroner for a copy of the report to be incorporated in the patient's notes, which should then be kept in line with the specialty, and then reviewed.</p> <p>All other records retain for 30 years.</p> | <p>The Royal College of Pathologists - The retention and storage of Pathological records & specimens 5th Edition, 2015</p> <p>guidance from The Royal College of Pathologists and the Institute of Biomedical Science:</p> <p>http://www.rcpath.org/resources/pdf/g031_retentionstorageofrecords_oct06.pdf</p> <p>http://www.rcpath.org/resources/pdf/g031retentionstorageaugust09.pdf</p> | Destroy |
| G46 | Genetic records | 30 years from date of last attendance. | <p>The Royal College of Pathologists endorses the Code of Practice and Guidance of the Advisory Committee on Genetic Testing (1997) and its recommendations on storage, archiving and disposal of specimens and records related to human testing services (genetics) offered and supplied direct to the public.</p> <p>Those who intend to offer such services should follow its guidance.</p> | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|--------------|
| G47 | <p>Genito Urinary Medicine (GUM)</p> <p>Includes sexual health records</p> | <p>For records of adults - retain for 10 years after last entry.</p> <p>For clients under 18 - retain until 25th birthday or for 10 years after last entry, whichever is the longer i.e. records for clients aged 16-17 should be retained for 10 years and records for clients under 16 should be retained until age 25 (i.e. still retained for at least 10 years).</p> <p>Records of deceased persons should be retained for 8 years after death.</p> | <p>Clinical Standards Committee, Faculty of Sexual and Reproductive Healthcare (FSRH) of the Royal College of Obstetricians and Gynaecologists</p> <p>See also Guidance on the Retention and Disposal of Hospital Notes, British Association for Sexual Health and HIV (BASHH)</p> <p>http://www.bashh.org/documents/1062/1062.pdf</p> | Destroy |
| G48 | GP Medical Records | | <p>http://www.bma.org.uk/ethics/health_records/retentionrecords.jsp</p> | |
| | GP Medical Records | <p>GP Medical Records should be returned to the HSCB when:</p> <ul style="list-style-type: none"> • a patient dies • the person is no longer a patient of the GP <p>GP Records should be held by the HSCB other than the records listed below for 10 years after death or after the patient has permanently left the country unless the patient remains in the European Union.</p> <p>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 for a longer period.</p> | <p>The Health & Personal Social Services (General Medical Services Contracts) Regulations (NI) 2004, S.R. 2004 No.140</p> | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|----------------------|
| | GP Medical Records - Maternity records | 25 years after last live birth | The Health & Personal Social Services (General Medical Services Contracts) Regulations (NI) 2004, S.R. 2004 No.140 Congenital Disabilities (Civil Liability) Act 1976, Consumer Protection (Northern Ireland) Order 1987 | Destroy |
| | GP Medical Records - Records relating to persons receiving treatment for a mental disorder within the meaning of the Mental Health (NI) Order 1986 | <p>20 years after the date of the last contact; or 10 years after patient's death if sooner.</p> <p>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> | The Health & Personal Social Services (General Medical Services Contracts) Regulations (NI) 2004, S.R. 2004 No.140 Royal College of Psychiatrists | Destroy |
| G49 | GP Medical Records, relating to HM Armed Forces. This refers to GP records of serving military personnel that were in existence prior to them enlisting. | <p>GP Medical Records should be returned to the HSCB when a patient becomes a member of HM Armed Forces. The medical records should be marked "not for destruction" within the HSCB.</p> <p>The Ministry of Defence (MoD) retains a copy of the records relating to service medical history. The patient may request a copy of these under the Data Protection Act (DPA), and may, if they choose, give them to their GP. GPs should also receive summary records when ex-Service personnel register with them.</p> <p>What GPs do with them then is a matter for their professional judgement, taking into account clinical need and DPA requirements – they should not, for example, retain information that is not relevant to their clinical care of the patient.</p> | | Not to be destroyed. |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|---|---|
| | GP Medical Records, relating to HM Armed Forces. This refers to GP records of serving military personnel that were in existence prior to them enlisting and held by HSCB. | These records should not be destroyed, however if the HSCB is notified of the death of such a patient the "not for destruction" marking should be removed and the records retained for 10 years after death. | | Destroy |
| G50 | GP Electronic Patient Record including those serving a period of imprisonment and Out of Hours Services | GPs must not destroy or delete their electronic patient records for the foreseeable future, unless and until such times as these records are transferrable in their entirety (including the audit trail) between clinical systems and from a GP system to the HSCB/BSO. | Good Practice Guidelines for General Practice Electronic Patient Records (version4) | Not to be destroyed Retain Permanently |
| G51 | GP Medical Records of those serving a prison sentence of more than 2 years, in existence prior to their imprisonment | GP Medical Records relating to those serving a prison sentence of more than two years should be sent to the HSCB The HSCB should mark the records "not for destruction". If the HSCB is notified of the death of such a patient the "not for destruction" marking should be removed and the records retained in the same way as for any other deceased patient. | | Destroy |
| G52 | Health Visitor / School Health Records (These are Nursing Records and relevant Safeguarding and Looked After children Information will be contained within Social Worker record.) | Retain until the patient's 25th birthday or 26th if young person was 17 at conclusion of treatment, or 8 years after death. 10 years for all other cases | | Destroy |
| G53 | Hospital acquired infection records | 6 years | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|---|---------------------|
| G54 | Human fertilisation records, including embryology records | <p>Treatment Centres</p> <p>The following retention periods apply to data held by clinics as established by HFEA General Directions 0012 version 1.</p> <ol style="list-style-type: none"> 1. Where it is known that a birth has resulted from treatment – 30 years after the child's birth. 2. Where it is known that no birth has resulted from treatment – 30 years after conclusion of treatment. 3. Where the outcome of treatment is unknown – 50 years after the information was first recorded. | <p>HFEA Data Protection Policy Version 2 February 2009</p> <p>Directions given under the Human Fertilisation and Embryology Act 1990, 24 January 1992 (this Act is subject to review by the Government:</p> <p>http://www.hfea.gov.uk/docs/2009-09-07_General_directions_0012_-_Record_retention.pdf</p> | Determine on Review |
| | Human fertilisation records, including embryology records | <p>Storage centres</p> <p>Where gametes, etc have been used in research, records must be kept for at least, 50 years after the information was first recorded</p> | This applies to centres in respect of information which they are directed to record and maintain under a treatment/storage licence. | Determine on Review |
| | Human fertilisation records, including embryology records | <p>Research centre</p> <p>(a) the total number of embryos or human admixed embryos created, used or disposed of during the research project;</p> <p>(b) the results of the research project; and</p> <p>(c) the conclusions drawn from the research project.</p> | <p>Such Records are to be kept for 3 years from the date of final report of results/conclusions to Human Fertilisation and Embryology Authority (HFEA).</p> <p>Where a research project involves the derivation of stem cells for human application, a record of the information specified must be retained for a period of at least 30 years from the date the final report of any research project is submitted to the Authority.</p> | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|--|--------------|
| G55 | Human tissue (within the meaning of the Human Tissue Act 2004) (see Forensic medicine above) | <p>For post mortem records which form part of the Coroner's report, approval should be sought from the Coroner for a copy of the report to be incorporated in the patient's notes, which should then be kept in line with the specialty, and then reviewed.</p> <p>All other records retain for 30 years.</p> | Human tissue (within the meaning of the Human Tissue Act 2004) | Destroy |
| G56 | <p>Immunisation and vaccination records – This information is held in Health Visitor and GP records for preschool children and also on the Child Health System.</p> <p>When a child goes to school and receives immunisations at school these are only recorded on the Child Health System, and not in GP records. GPs may also record information about immunisations for travel for people of all ages, in their own records which is not recorded on the Child Health System.</p> | <p>For children and young people – retain until the patient's 25th birthday or 26th if the young person was 17 at conclusion of treatment.</p> <p>All others retain for 10 years after conclusion of treatment.</p> | | Destroy |
| G57 | Intensive Care Unit charts | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|---|---|
| G58 | Joint replacement records | <p>10 years</p> <p>For joint replacement surgery the revision of a primary replacement may be required after 10 years and there is a need to identify which prosthesis was used originally. There is only a need to retain the minimum of notes with specific information about the original prosthesis for the full 10 years.</p> | <p>http://www.njrcentre.org.uk</p> <p>Consumer Protection (NI) Order 1987 and Article 8(3) The Limitation (Northern Ireland) Order 1989</p> | Destroy |
| G59 | <p>Learning difficulties – (records of patients with)</p> <p>NB Specific Learning Difficulty is where a person finds one particular thing difficult but manages well in everything else.</p> | Retain for the period of time appropriate to the patient/specialty, e.g. children’s records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | Royal College of Psychiatrists | <p>Destroy</p> <p>See GMGR Section G18 for children’s records and GMGR Section G66 for mentally disordered persons’ records</p> |
| G60 | <p>Learning Disabilities</p> <p>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.</p> | Retain for the period of time appropriate to the patient/specialty, e.g. children’s records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | Royal College of Psychiatrists | <p>Destroy</p> <p>See GMGR Section G198 for children’s records and GMGR Section G686 for mentally disordered persons’ records</p> |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|---|---|
| G61 | Medical Records of those serving a period of imprisonment | <p>Records wherever they are held other than the records listed below retain for 10 years after the death or after the patient has permanently left the country unless the patient remains in the European Union.</p> <p>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 for a longer period.</p> <p>Maternity records – 25 years after last live birth</p> <p>Where the prisoner was suffering from a mental health disorder within the meaning of the Mental Health (NI) Order 1986, 20 years after the date of the last contact; or 10 years after patient's death if sooner.</p> | | Destroy |
| G62 | <p>Hospice Care</p> <p>(For Example Macmillan Marie Curie, NI Hospice, The Palliative and End of Life Care patient records– community and acute)</p> | <p>Organisations regulated under The Independent Health Care Regulations (Northern Ireland) 2005 see GMGR Section O16</p> <p>Otherwise retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18.</p> | | <p>Destroy</p> <p>See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records</p> |
| G63 | Maternity (all obstetric and midwifery records including those of episodes of maternity care that end in still birth or where the child later dies). | <p>25 years after last entry or update.</p> <p>Where the baby receives donor milk the baby's record should be kept for 30 years.</p> | <p>Para 1.2.74 National Institute for Health and Clinical Excellence Donor breast milk banks: the operation of donor milk bank services February 2010</p> | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|------------------------------|---|--|--------------|
| G64 | Mammography screening | | | |
| | Mammograms & Reports | <p>Normal packet – 9 years after date of final attendance</p> <p>Screen detected cancers – Indefinitely</p> <p>Interval cancers – Indefinitely</p> <p>Interesting cases – Indefinitely</p> <p>Retention periods should be calculated from the end of the calendar year following the conclusion of treatment or the last entry in the record.</p> | BFCR (06)4 Royal College of Radiologists | Destroy |
| | Research cases | <p>15 years after date of final attendance</p> <p>Retention periods should be calculated from the end of the calendar year following the conclusion of treatment or the last entry in the record.</p> | BFCR (06)4 Royal College of Radiologists | Destroy |
| | Age Trial Cases | <p>9 years after date of final attendance</p> <p>Retention periods should be calculated from the end of the calendar year following the conclusion of treatment or the last entry in the record.</p> | BFCR (06)4 Royal College of Radiologists | Destroy |
| | Deaths | <p>9 years after final attendance</p> <p>Retention periods should be calculated from the end of the calendar year following the conclusion of treatment or the last entry in the record.</p> | BFCR (06)4 Royal College of Radiologists | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|-----------------------------------|--|
| G65 | Medical illustrations | See photographs GMGR Section G90 retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | | <p>Destroy</p> <p>See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records</p> |
| G66 | <p><u>Mental Health Records</u></p> <p>Mentally disordered persons (within the meaning of the Mental Health (Northern Ireland) Order 1986)</p> | <p>20 years after no further treatment considered necessary; or 8 years after the patient's death if the patient died while still receiving treatment</p> <p>With regard to the selection of records for medical research purposes, PRONI advises that medical staff should recommend records for permanent preservation. Decisions should be based on the medical research potential of the records, e.g. on the different forms of mental disorder (genetic or otherwise) and on the different treatments.</p> <p>When the records come to the end of their retention period, they must be reviewed and not automatically destroyed. Such a review should take into account any genetic implications of the patient's illness. If it is decided to retain the records, they should be subject to regular review.</p> | | <p>Transfer to PRONI all files for each Census Year ¹ beginning with 1951 and in addition all files related to:</p> <p>a) suicide cases or where the cause of death was uncertain;</p> <p>b) cases which have already been the subject of medical research by doctors or record drug trials;</p> <p>c) cases of medical research potential;</p> <p>d) social worker's reports</p> |

¹ Examples: An inpatient in 1983, treated at the outpatient clinic and discharged on the 10/5/90. The file was closed on the 10/5/90. GMGR requires the record to be retained for 20 years after discharge. The record kept until 10/5/10. 2010 is not a census year so the record was destroyed.

An inpatient in 1953 remained there until death on 10/06/03. and the file was closed. GMGR requires the record to be retained for 8 years after death. The record would be kept until 20th June 2011. 2011 is a census year so the record should be transferred to PRONI.

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|-----------------------------------|---|
| | | | | <p>and related records (e.g. personal "life testimonies" by patients – retained because of their social historical content);</p> <p>e) criminal mentally disordered offender cases where the person is convicted of a serious crime e.g. homicide; and</p> <p>f) mentally disordered offender cases where the person has been transferred to the following high secure or medium secure units:</p> <p>Ashworth Hospital;</p> <p>Broadmoor Hospital;</p> <p>Carstairs Hospital;</p> <p>Rampton Hospital;</p> <p>Shannon Clinic,</p> <p>Knockbracken.</p> |
| | Mental Health Records – Child & Adolescent (includes clinical psychology records) not listed elsewhere in this schedule. | 20 years from the date of last contact, or until their 25th/26th birthday, whichever is the longer period. Retention period for records of deceased persons is 8 years after death. | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|------|---|---|--|--|
| G67 | Microfilm/microfiche records relating to patient care | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | See GMGR Part 1 Guide to preservation Microfilming 2000 | Determine on Review See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records |
| G68 | Midwifery records | See (Maternity) GMGR Section G63 25 years after the entry or update | Midwives rules and standards (NMC 2012) (rule 6). http://www.nmc.org.uk/globalassets/sitedocuments/nmc-publications/midwives-rules-and-standards-plain-final.pdf | Destroy |
| G769 | Mortuary registers (where they exist in paper format) | 30 years | The Royal College of Pathologists. The Royal College of Pathologists - The retention and storage of Pathological records & specimens (4th Edition, 2009) | Destroy |
| G70 | Music therapy records | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | | Destroy See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records |
| G71 | Neonatal screening records | 25 years | | Destroy |
| G72 | Nicotine Replacement Therapy (dispensed as smoking cessation aid) | 2 years unless there are clinical indications to keep them for longer | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|--|--|
| G73 | Northern Ireland Electronic Care Record | 8 clear years after last activity | | Destroy |
| G74 | Notifiable diseases book | 6 years | | Destroy |
| G75 | Occupational therapy records | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | | Destroy See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records |
| G76 | Occupationally Related Diseases e.g. asbestosis, pneumoconiosis, byssinosis) | 10 years after date of last entry in the record | British Thoracic Society's Occupational and Environmental Lung Disease Specialist Advisory Group | Destroy |
| G77 | Oncology (All records where the patient has had treatment for oncology, otherwise retain the records as per the appropriate classification) | | | |
| | Paediatric Oncology Records where condition was diagnosed prior to the 18th birthday | Until 65th birthday | BFCO (06)2 issued by the Royal College of Radiologists with the support of the Joint Council for Clinical Oncology | Determine on Review |
| | All other oncology records | 50 years or 8 years after death. | BFCO (06)2 issued by the Royal College of Radiologists with the support of the Joint Council for Clinical Oncology | Determine on Review |
| G78 | Operating Theatre Lists | 4 years; 48 hours for prints taken from computer records | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|--|--|
| G79 | Operating theatre registers | 8 years after the year to which they relate | | Destroy |
| G80 | Ophthalmic Screening and General Ophthalmic Services (GOS) | A contractor shall keep a proper record in respect of each patient to whom he provides general ophthalmic services, giving appropriate details of sight testing, for 7 years from and including the date of the last recorded sight test "... but it is recommended for best practice, in line with the professional bodies, that GOS records are retained for 12 years" | Paragraph 7 Schedule 1 Health and Personal Services General Ophthalmic Services Regulations (NI) 2007 – S.R.2007 No.436 http://www.legislation.gov.uk/nisr/2007/436/contents/made | Destroy |
| G81 | Orthoptic records | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | British and Irish Orthoptic society http://www.orthoptics.org.uk/orthoptists/Orthoptic_competency_standards.pdf | Destroy See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records |
| G82 | Out-patient lists | 2 years after the date to which they relate | | Destroy |
| G83 | Paediatric records | see Children and young people GMGR Section G18 | | Determine on Review |
| G84 | Parent-held records (i.e. records for sick/ ill children being cared for at home by community teams NOT the records of newborn children. These records are HSC records that belong to clinical staff but which are held by the parent. | At the end of an episode of care the HSC organisation responsible for delivering that care and compiling the record of the care must make appropriate arrangements to retrieve parent-held records. The records should then be retained until the patient's 25th birthday, or 26th birthday if the young person was 17 at the conclusion of treatment, or 8 years after death. | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|-----------------------------------|---|
| G85 | Patient/Client Clinical/Medical Case Records (not covered in other categories) | 8 years after conclusion of treatment | | Determine on Review |
| G86 | Patient Group Directions (PGDs) master copies, lists of authorised Practitioners, and records of version numbers | 25 years | | Destroy |
| G87 | Patient-held records | At the end of an episode of care the HSC organisation responsible for delivering that care and compiling the record of the care must make appropriate arrangements to retrieve patient-held records. The records should then be retained for the period appropriate to the specialty. | | Destroy |
| G88 | Patients involved in clinical trials | 15 years after conclusion of treatment. | See J 56 | Determine on Review |
| G89 | Photographs – (where the photograph refers to a particular patient it should be treated as part of the case health record) NB: In the context of GMGR a “photograph” is a print taken with a camera and retained in the patient record. | Retain for the period of time appropriate to the patient/specialty, e.g. children’s records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. Unless there is a clinical or legal reason for retaining the digital image and a print is placed on the patient’s record, there is no requirement to retain the digital image. | | Destroy See GMGR Section G18 for children’s records and GMGR Section G66 for mentally disordered persons’ records |
| G90 | Physiotherapy records | Retain for the period of time appropriate to the patient/specialty, e.g. children’s records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | | Destroy. See GMGR Section G18 for children’s records and GMGR Section G66 for mentally disordered persons’ records |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|---|--|
| G91 | Podiatry Records | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | | Destroy See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records |
| G92 | Pre 1948 Records | Records in this category may already have been destroyed or sent to PRONI for permanent preservation. Any records which still exist and do not fall within any other category should be referred for a special PRONI Review. | | Special Review by PRONI |
| G93 | Prison Health 24HR Nursing Handover Report | Retain for 1 year | | Destroy |
| G94 | Private patients records admitted to hospital under Article 31 of the Health and Social Services (Northern Ireland) Order 1972 | Although technically exempt from the Public Records Act (Northern Ireland) 1923, it is appropriate to treat as if they were not exempt in which case retention periods relevant to the condition apply. | | Destroy |
| G95 | Radiation dose records for classified persons | 50 years from the date of the last entry or age 75, whichever is the longer | Ionising Radiation Regulations (NI) 2000, SR 2000 No 375. (reg. 19(3)(a)) | Destroy |
| G96 | Record of patient's property handed in for safe keeping | 6 years after the end of the financial year | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---------------------|---|-----------------------------------|---|
| G97 | Speech and Language | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66. | | Destroy. See GMGR Section G18 for children's records and GMGR Section G66 for mentally disordered persons' records |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|---|---------------------|
| G98 | <p>Transplant records – This includes records of the date and time of transportation of organs arriving or leaving centres. Records of Donor and Organ Characterisation, details of risk/benefit analyses and records relating to SAE or SARs must also be retained for 30 years</p> <p>Donor records (blood and tissue)</p> <p>Patient who has received an organ transplant</p> <p>Some information is held on HTA A and B forms which, when returned to NHSBT, will also be kept for 30 years.</p> | <p>The Regulations and the documentary framework require that traceability information is retained for 30 years from the date of retrieval of the organ..</p> <p>See also Pathology GMGR Section 'K'</p> <p>Precedent Cases should be transferred to PRONI.</p> <p>A serious adverse event (SAE) is defined in the Regulations as ‘any undesired and unexpected occurrence associated with any stage of the chain from donation to transplantation that might lead to the transmission of a communicable disease, to death or life-threatening, disabling or incapacitating conditions for patients or which results in, or prolongs, hospitalisation or morbidity’.</p> | <p>http://www.legislation.gov.uk/ukpga/2004/30/contents</p> <p>http://www.legislation.gov.uk/uksi/2007/1523/pdfs/uksi_20071523_en.pdf</p> <p>https://www.hta.gov.uk/faqs/organ-donation-and-transplant-faqs</p> <p>A serious adverse reaction (SAR) is defined in the Regulations as ‘an unintended response, including a communicable disease, in the living donor or in the recipient that might be associated with any stage of the chain from donation to transplantation that is fatal, life-threatening, disabling, incapacitating, or which results in, or prolongs, hospitalisation or morbidity’</p> <p>Some information is held on HTA A and B forms which, when returned to NHSBT, will also be kept for 30 years.</p> <p>Advisory Committee on the Safety of Blood, Tissues and Organs (SaBTO)</p> | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|------|--|--|-----------------------------------|---------------------|
| G99 | Trauma Files | See G66 Mental Health Records | | Determine on Review |
| G100 | Ultrasound records(e.g. vascular, obstetric) | Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G18, for mentally disordered persons see GMGR Section G66.or 8 years after the patient's death if patient died while in the care of the Organisation. | | Destroy |
| G101 | <p>Video records/voice recordings/video-conferencing records/DVD records relating to patient care Includes:</p> <p>Telemedicine records Out of hours records (GP cover)</p> <p>NHS Direct records</p> <p>Clinical neurophysiology</p> <p>Clinical neurophysiology is a diagnostic specialty, which uses the investigations of electroencephalography (EEG), electromyography (EMG), nerve conduction studies (NCS), and evoked potentials (EPs) to assess function in the nervous system and assist in diagnosis, assessment of severity and monitoring of disease progression.</p> | <p>These records form part of the patient record.</p> <p>8 years subject to the following exceptions or where there is a specific statutory obligation to retain records for longer periods:</p> <p>Children and young people: Records must be kept until the patient's 25th birthday, or if the patient was 17 at the conclusion of treatment, until their 26th birthday, or until 8 years after the patient's death if sooner.</p> <p>Maternity: 25 years</p> <p>Mentally disordered persons: Records should be kept for 20 years after the date of last contact between patient/client/service user and any healthcare professional or 8 years after the patient's death if sooner.</p> <p>Cancer patients: See G77 The Royal College of Radiologists has recommended that such records be kept permanently where chemotherapy and/or radiotherapy was given.</p> | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|------|--|--|-----------------------------------|--------------|
| G102 | <p>Waiting List Information</p> <p>Letters and responses to and from clients/ patients/Service user asking if they wish to remain on a waiting list.</p> | <p>All information relating to the patient should be recorded in the patient record by the clinician and kept according to speciality.</p> <p>Boarding Cards/ Administrative records relating to the management of the list – retain until the patient receives the procedure or decides not to proceed.</p> | | Destroy |
| G103 | Waiting List | See Reference GMGR Section Q1 for returns sent to the Department. The actual list should be kept on a three year rolling cycle. | | Destroy |
| G104 | Ward Registers including daily bed returns | 1 year | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|------|--|--|--|--------------|
| G105 | X-ray films (including other image formats for all imaging modalities/diagnostics) | <p>General Patient Records – 8 years after conclusion of treatment.</p> <p>Children & Young People – Until the patient’s 25th birthday, or if the patient was 17 at conclusion of treatment, until their 26th birthday or 8 years after the patient’s death if sooner.</p> <p>Maternity – 25 years after the birth of the child, including, still births.</p> <p>Clinical Trials – 15 years after completion of treatment.</p> <p>Litigation – Records should be reviewed 10 years after the file is closed. Once litigation has been notified (or a formal complaint received) images should be stored until 10 years after the files has been closed.</p> <p>Mental Health – 20 years after no further treatment considered necessary or 8 years after death.</p> <p>Oncology – see GMGR Section G77 Oncology Records.</p> | <p>BFCR(06)4 – Royal College of Radiologists Guidance from the Royal College of Radiologists regards “images and request information (to be) of a transitory nature” (para 2.1), but goes on to say: “It is now considered that best practice should move towards retention of image data for the same duration as report and request data” (para 2.2) and recommends that “the retention period for text and image data are equal and comply with the published retention schedules” (para 7.1):</p> <p>http://www.rcr.ac.uk/publications.aspx?PageID=310&PublicationID=234</p> <p>The Ionising Radiation (Medical Exposure) Regulations 2000</p> | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|------|--|--|---|--|
| G106 | X-Ray Referral/Request Cards | 8 years providing there is a record in the patient's health record that a referral /request was made for an x-ray. | <p>Guidance from the Royal College of Radiologists regards "images and request information (to be) of a transitory nature" (Para 2.1) but goes on to say: "It is now considered that best practice should move towards retention of image data for the same duration as report and request data" (Para2.2) and recommends that "the retention period for text and image data are equal and comply with the published retention schedules"(para7.1):</p> <p>http://www.rcr.ac.uk/index.asp?PageID=310&PublicationID=234</p> <p>The Ionising Radiation (Medical Exposure) Regulations 2000</p> | Destroy |
| G107 | X-ray registers | 8 years | <p>The Ionising Radiation (Medical Exposure) Regulations 2000</p> | Destroy |
| G108 | X-ray reports (including reports for all imaging modalities) | To be considered as a permanent part of the patient record. | <p>The Ionising Radiation (Medical Exposure) Regulations 2000</p> | As per the final action for the patient record |

H. Work Area - ICT

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|---------------------|
| H1 | Software licences | Lifetime of software | | Destroy |
| H2 | Documentation relating to computer programmes written in-house. | Lifetime of software | | Destroy |
| | Minor administrative records | Current plus 2 years | | Destroy |
| H3 | Products (liability) | see D1 | | Destroy |
| H4 | Records documenting the development and establishment of ICT systems management policies and procedures. | See GMGR Section J33 and GMGR Section J39 | | Determine on Review |
| H5 | Records documenting the security arrangements for ICT systems. | See GMGR Section D9 | http://www.bangor.ac.uk/ar/ro/recordsmanagement/InformationCommunicationTechnologyICTSystemsManagement-RecordsRetentionSchedule.php.en | Destroy |
| H6 | Records relating to the monitoring of Display Screens and related workstations in the workplace. | 3 years | | Destroy |
| | Eyesight Tests | See GMGR Section L37 | | Destroy |
| H7 | Records documenting helpdesk services including faults reported, requests for technical and application support and action taken to resolve and assistance provided. | Last action plus 1 year | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|-----------------------------------|--------------|
| H8 | Web Management | 3 years | | Destroy |
| H9 | Records relating to the ongoing management, and changes to system support including user accounts, and monitoring use of systems. | 7 years | | Destroy |
| | <p>Audit logs of all networks and systems (Audit Logs are records of sequential activities maintained by the application or system)</p> <p>An audit trail consists of the log records identifying a particular transaction or event and is retained for the life of the record it relates to (see G 41)</p> | 6 months | | Destroy |
| H10 | <p>Telecommunications records management</p> <p>Audiotapes/recordings of calls requesting assistance</p> <p>Helpline calls</p> <p>Message books/ logs of calls received</p> | <p>see G 7</p> <p>see G 7</p> <p>see J50</p> | | Destroy |

I. Work Area - Legal

| Ref | Record Type | Minimum Retention Period | Relevant legislation / Derivation | Final Action |
|-----|---|--|--|---------------------|
| I1 | Records/documents related to any form of litigation. | <p>6 years from the date of the last action on the file or settlement of the case whichever is the later and as advised by legal advisors. Specific legal advice should be sought from the organisation's legal advisors to determine whether the records should be retained further within the organisation.</p> <p>In cases where the proceedings relate to a minor (i.e anyone under the age of 18) records should be maintained until their 25th birthday.</p> <p>In cases involving a person under a disability (see definition in Part 1) records should be retained for a period of six years after the death of the individual concerned.</p> | HSC (SQSD) 05/10 Handling Clinical and Social Care Negligence and Personal Injury Claims | Determine on Review |
| | Database containing information on all claims (HSC (SQSD) 05/10 Para 39 refers). | 50 years | HSC (SQSD) 05/10 Handling Clinical and Social Care Negligence and Personal Injury Claims | Destroy |
| I2 | Police Statements (made in the context of Accident and Emergency episodes. Statements are requested by the Police to the A&E staff in relation to alleged injuries of or by patients coming through A&E). | 10 years (congruent retention period as Incident Forms) | | Destroy |
| I3 | Family Health Service Appeals Authority tribunal and case files. | <p>Case files – 10 years</p> <p>Decision records – until individual's 80th birthday</p> | | Destroy |

J. Work Area - Organisation

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|-----------------------------------|---------------------|
| J1 | Agendas and Minutes of Trust/HSCB/Agency/Departmental Board/ Top Management Group (TMG) Meetings (Master Copies including associated papers) | 20 years | | Transfer to PRONI |
| J2 | Agendas and minutes of major committees, sub-committees (master copies, including associated papers) | 10 years - Normal Review Process | | Transfer to PRONI |
| J3 | Agendas, meeting papers, minutes– committees, sub committees, predecessors, professional staff/team meetings (Master Copies) | 10 years - Normal Review Process | | Determine on Review |
| J4 | Meetings and minutes papers (other, including reference copies of major committees) | 2 years | | Destroy |
| J5 | Advance letters (e.g. DH guidance) | 6 years | | Destroy |
| J6 | Ambulance Administrator Records (i.e.) records containing non-clinical details only e.g. records of journeys. | 2 years from the end of the year to which they relate. | | Destroy |
| J7 | Annual/Corporate Reports (Background papers) | 3 years | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|--|--|
| | Annual/corporate reports (published report) | 3 years | | PRONI should be added to the circulation list and a copy of each published Annual / Corporate Report sent to them. |
| J8 | Audit (see also F5,6,39) Audit Standards In house consultancy and advice Planning | 10 years after closure of last part 5 years (after closure of last part) 6 years (after closure of last part) | Standing documentation and reference requirements Audit Strategy 3-5 years EQA every 5 years | Destroy Determine on review |
| J9 | Business Plans, Corporate Plans and Strategic Plans. | 20 years | | Destroy PRONI should be added to the circulation list and a copy of each plan sent to them. |
| J10 | Commissioning decisions | | | |
| | Appeal documentation | 6 years from date of appeal decision | | Destroy |
| | Decision documentation | 6 years from date of decision | | Destroy |
| J11 | Contact details | 1 year after details change or no longer required | | Destroy |
| J12 | Library Services | | | |
| | Copyright declaration forms | 6 years | Copyright, Designs and Patents Act 1988 | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--------------------------|-----------------------------------|--------------|
| | Acquisition, Catalogues Circulation Customer Services, Advice and Guidance | 2 years | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|-----------------------------------|--------------|
| J13 | <p>Correspondence and other papers of minor or ephemeral importance not covered elsewhere e.g.</p> <ul style="list-style-type: none"> • advertising matter • printing • covering letters • Compliments and appreciations • queries • reminders • letters making appointments • anonymous or unintelligible letters • drafts • duplicates of documents known to be preserved elsewhere (unless they have important minutes on them) indexes and registers compiled for temporary purposes • routine reports • punched cards, and <p>other documents which have ceased to be of value on settlement of the matter involved.</p> | 3 years after the settlement of the matter to which it relates | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|-----------------------------------|---------------------|
| J14 | Data Input Forms (where the data/information has been input to a computer system) | 2 years | | Destroy |
| J15 | Departmental Enquiries | 10 years - Normal Review Process | | Determine on Review |
| J16 | Diaries | | | |
| | Chief Executive or equivalent | Review 5 years following the calendar year to which they relate | | Destroy |
| | Minister and Ministers private secretary | See GMGR Section J34 | | Destroy |
| J17 | Diaries which contain details of staff travelling | 6 years following the calendar year to which they relate | | Destroy |
| J18 | Diaries – professional e.g. health visitors, district nurses, social workers and Allied Health Professionals | 2 years after the end of the year to which the diary relates. Patient specific information should be transferred to the patient record. Any notes made in the diary as an 'aide memoire' must also be transferred to the patient record as soon as possible. | | Destroy |
| J19 | Diaries (office) | 1 year after the end of the calendar year to which they refer. | | Destroy |
| J20 | Records Management | | | |
| | Disposal | | | |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--------------------------|---|---|
| | Disposal Schedules/Indexes (documents describing public records marked for permanent preservation or containing the management of public records) correspondence and papers relating to the compilation of disposal schedules | Review at 10 years | Public Records Act (Northern Ireland) 1923 Information management records retention schedule | Determine on Review |
| | Disposal Schedules (Actual Signed Schedule) or indexes. | Permanent | | A copy is permanently retained in the organisation and a copy should be sent to PRONI |
| | File lists and document lists where public records or their management are not covered | 30 years | Information management records retention schedule | Determine on Review |
| | Lists, certificates, docket books or databases of records destroyed | Retain permanently | | Retain |
| | Registry lists of public records marked for permanent preservation, or containing the record of management of public records | 30 years | | Retain |
| | Review Lists | 5 years | | Destroy |
| | Storage | | | |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|---|-------------------------|
| | Records relating to the transfer of files to off-site storage | 2 years after the records are disposed of | | Destroy |
| | Records relating to the retrieval of files from off-site storage | 2 years | | Destroy |
| | Records relating to contracts with storage providers | 6 years from the end of the contract | | Destroy |
| | General Management | | | |
| | Disaster planning records | See A5 | | Destroy |
| | Documentation of record series | Preserve permanently for series from which records have been transferred to PRONI. Destroy when all records in the series have been destroyed. | | Destroy |
| | Documents more than 100 years old | Any records currently held should be referred for a special PRONI Review | | Special review by PRONI |
| | General administrative records, including routine correspondence relating to the provision of information management services | 2 years | | Destroy |
| | Information Surveys record audits and registry inspections | 5 years | | Destroy |
| | Records relating to the control of record keeping systems | When the system is superseded | Information management records retention schedule | Destroy |
| | Security of records | 5 years | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--------------------------|--|---------------------|
| J21 | Equality and good relations: documents created or used specifically for the purposes of meeting statutory duties placed on public bodies regarding the promotion of equality and good relations, inc. Equality Schemes and background documents; documents relating to the equality-screening of policies and Equality Impact Assessments; annual statements to the Equality Commission on the implementation of the duties; equality training plans and materials. | 7 years | | Determine on Review |
| J22 | Garden Parties and Public Functions | 5 years | | Destroy |
| J23 | Honours | 7 years | | Destroy |
| | Awards and prizes | 7 years | | Destroy |
| J24 | Hospitality | | | |
| | Gifts and Hospitality Registers including the offers of gifts | 6 years | DAO(DFP)10/06 Acceptance and Provision of Gifts and Hospitality DFP Guidance on the Acceptance and Provision of Gifts and Hospitality | Destroy |
| | Catering forms | 6 years | | Destroy |
| | Guidance on the provision and acceptance of gifts | See GMGR Section J30 | HSS(F) 49/2009 Gifts and Hospitality | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|-----------------------------------|--|
| J25 | Records of Incoming mail | 3 years | | Destroy |
| J26 | Information Access | | | |
| | Data Protection Act and Access to Health Records- Subject Access Requests – record of requests | 3 years after last action | | Destroy |
| | Freedom of Information and Environmental Information Request case file records, detailing the FOI request, the consideration of possible exemptions and subsequent appeals. | 3 years after last action. | | Destroy |
| | Monitoring records. Statistical data about the number of requests and outcomes. | 10 years | | Destroy |
| | Records relating to Data Sharing arrangements between organisations including Data Access Agreements | 7 years after the agreement expires | | Destroy |
| J27 | Inquiries Under Inquiries Act 2005 For Departmental Enquiries please see J15 | See guidance on Special Category Records in Part 1 | | PRONI to determine on review after completion of the Inquiry |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--------------------------|-----------------------------------|--------------|
| J28 | Governance and Quality Assurance/Controls Assurance Records | | | |
| | Annual report on the discharge of delegated Statutory functions and corporate parenting report | 3 years | | Destroy |
| | Quality assurance records (e.g. Healthcare Commission, Audit Commission, King's Fund Organisational Audit, Investors in People NIMDTA) | 15 years | | Destroy |
| | Controls Assurance Standards (published standards) | 5 years | | Destroy |
| | Controls Assurance Exercise Documents (evidence created by organisation) | 2 years | | Destroy |
| | Assessment of performance against controls Assurance Standards (includes scores submitted to the Department) | 5 years | | Destroy |
| | Liaison between organisations relating to governance | 5 years | | Destroy |
| | Monitoring of performance by the Department | 5 years | | Destroy |
| | Records relating to internal organisational, team standards | 5 years | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|---|---------------------|
| | Risk Registers | 5 years after cancelled or superseded | | Destroy |
| | Accountable Officer Records | | | |
| | <ul style="list-style-type: none"> Declaration and self assessment | 5 years | | Destroy |
| | <ul style="list-style-type: none"> Records of auditing and monitoring | 5 years from formal approval of the audit. | | Destroy |
| | <ul style="list-style-type: none"> Occurrence reports | 10 years | | Destroy |
| | <ul style="list-style-type: none"> Records of concern and the assessment and investigation of concerns | See GMGR Section A2 – A4 and GMGR Section A6 | | Destroy |
| | Local Intelligence Network Records | Review the records (see Part 1 for guidance) after 10 years to consider whether the records should be destroyed or retained up to the death or end of working life of any individual concerned. | | Destroy |
| | Medicines Regulatory Group (DHSSPS) (previously Inspection and Enforcement Group) | | | |
| | <ul style="list-style-type: none"> Inspections | 5 years from the date of the inspection | Addendum to DAO (DFP) 08/07 | Determine on Review |
| | <ul style="list-style-type: none"> Investigations | 10 years (see GMGR Section F26) | Addendum to DAO (DFP) 08/07 | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|--|--|
| J29 | Guidance and Circulars | | | |
| | received by organisations (e.g. from the Department) | Until cancelled or superseded | | Destroy |
| | Creator' background papers | See GMGR Section J39 | | Destroy |
| J30 | Human Rights: documents created or used specifically for the purposes of meeting obligations arising from the Human Rights Act 1998 and various International Conventions and Treaties. Inc training materials, inputs to UK updates, responses to concluding observations. | As per J21. | | |
| J31 | Legislation | | | |
| | Actual sealed copy | | Paragraph 9.1.4 of OFMDFM'S Handbook on Subordinate Legislation advises the "Original of a Statutory Rule is retained permanently by the Department in a secure place." The DHSSPS Departmental Records Officer has approved that all Statutory Rules and Sealed Directions should be sent to PRONI | Transferred to PRONI within 3 months |
| | Background papers | | | + |
| | <ul style="list-style-type: none"> Primary Legislation | Permanent Preservation | | Permanent Preservation by the Department |
| | <ul style="list-style-type: none"> Subordinate legislation | Review 20 years. Papers should be considered for destruction if the legislation has been superseded | | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|--|
| | <ul style="list-style-type: none"> Administrative records associated with legislative policy development | 5 years after closure (Closure means 4 months after the Legislation is made) | | Destroy |
| | <ul style="list-style-type: none"> Administrative records associated with legislative general administration | 1 year after legislation made | | Destroy |
| J32 | Mailing lists | 1 year after list changes or no longer applicable | | Destroy |
| J33 | Manuals – policy and procedure (administrative and clinical, strategy documents) | 10 years after life of the system (or superseded) to which the policies or procedures refer | | Determine on Review |
| J34 | Ministerial, Permanent Secretary and Chief Executive Records | | | |
| | <p>Assembly Questions(AQ), Parliamentary Questions(PQ) MLA/MP Enquiries</p> <p>These documents include all information provided by the organisation in response to a AQ/PQ (e.g. background note to the Minister or the Minister may amend the response) all of which may not be used in the response and therefore it will not be in the public domain.</p> | 5 years | The National Archives guidance on the Management of Private Office Papers | <p>Permanently preserve electronic,</p> <p>Paper – Determine on Review</p> |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|---|--|
| | Briefings: Ministerial policy or media briefings | 5 years | The National Archives guidance on the Management of Private Office Papers | Permanently preserve electronic, Paper – Determine on Review by DIM and PRONI |
| | Submissions and Invitations May include; speeches; visits by dignitaries, politicians, ministers invited guests; private secretaries e-mails conveying Minister's views/decisions to policy areas; Private Secretaries' notes of Minister's meetings and telephone conversations. Policy briefings, speeches, press releases, interviews. | Pass to the Departmental Information Manager at the end of a minister's tenure in Office. The DIM should transfer all electronic records to PRONI and request PRONI to review any paper records. | The National Archives guidance on the Management of Private Office Papers | Permanently preserve electronic, Paper – Determine on Review by DIM and PRONI |
| | Permanent Secretary Cases Chief Executive Cases | 5 years | The National Archives guidance on the Management of Private Office Papers | Permanently preserve electronic, Paper – Determine on Review by DIM and PRONI |
| | Executive Business Assembly Business | 5 years 5 years | The National Archives guidance on the Management of Private Office Papers | Permanently preserve electronic, Paper – Determine on Review by DIM and PRONI |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|--|--|
| | Ministers Diary (paper diary or electronic diary): these should be kept up to date to reflect the actual appointments that took place and this should be the record that is retained Ministers notebooks | Pass to the Departmental Information Manager at the end of a minister's tenure in Office. | The National Archives guidance on the Management of Private Office Papers Guidance issued by Sir Robin Butler in his letter of 27 September 1995 to Sir Terence Burns | The DIM should transfer all electronic records to PRONI and request PRONI to review any paper records. |
| | Private secretary's notebooks: Any detail from notebooks that should be retained should be transferred to the Official Record | 6 months | The National Archives guidance on the Management of Private Office Papers | Destroy |
| | Records of formal meetings with outside interest groups /lobbyists | Pass to the Departmental Information Manager at the end of a minister's tenure in Office. The DIM should transfer all electronic records to PRONI and request PRONI to review any paper records. | Recommendations 27 and 28 of the Sixth Report of the Committee on Standards in Public Life (CMD 4817) | Permanently preserve electronic, Paper – Determine on Review |
| J35 | Organisational Charts | 2 years after cancelled or superseded | | Destroy |
| J36 | Patient/customer information leaflets | 6 years after the leaflet has been superseded | | Destroy |
| J37 | Patient/ client/ customer surveys | 2 years | | Destroy |
| J38 | Photographs Image Library records | See GMGR Section J40 | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|--|--|
| J39 | Policy, procedures and guidelines – (development background papers including Cross Border Initiatives) Actual Policies | 6 years following the revision of the policy or procedures. Review at change/ revision and or first and second review procedures. A copy of all organisational policies must be retained permanently as a reference. Organisations may decide to retain these within their libraries. | | Determine on Review Retain Permanently within the Organisation. |
| J40 | Press and Public Relations Records | | | |
| | Media Briefing | 7 years | | Destroy |
| | Official Briefings – responses Briefing requests and their responses from private offices, select and standing committees | See GMGR Section J35 Pass to the Departmental Information Manager at the end of a minister's tenure in Office. The DIM should transfer all electronic records to PRONI and request PRONI to review any paper records. | The National Archives guidance on the Management of Private Office Papers | Permanently preserve electronic, Paper – Determine on Review by DIM and PRONI |
| | Photographs Image Library records | 5 years | National Archives Records Management Retention Scheduling Press and Public Relations Records | Destroy |
| | Press Conference reports | 7 years | National Archives Records Management Retention Scheduling Press and Public Relations Records | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|---|---|
| | Press Cuttings | 28 Days | National Archives Records Management Retention Scheduling Press and Public Relations Records http://www.nlamediaaccess.com/default.aspx?tabid=150 | Destroy |
| | Press Releases | 7 years | National Archives Records Management Retention Scheduling Press and Public Relations Records | Destroy |
| | Reports on media/public relations, correspondence with media, press reports | 7 years | National Archives Records Management Retention Scheduling Press and Public Relations Records | Determine on Review |
| | <u>Special Events</u> Correspondence and papers Reports Visitors books Calendars, Brochures and guides | 7 years 7 years See E27 (3 years) 3 years | National Archives Records Management Retention Scheduling Press and Public Relations Records | |
| | Speeches and Interviews – preparation and delivery of speeches and interviews on behalf of ministers, permanent secretary, and chief executives as well as other officials. | For ministerial records see GMGR Section J35 Pass to the Departmental Information Manager at the end of a minister’s tenure in Office. The DIM should transfer all electronic records to PRONI and request PRONI to review any paper records. For all others 4 years. The DIM should transfer all electronic records to PRONI and request PRONI to review any paper records. | | Permanently preserve electronic, Paper – Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|---------------------|
| | Project Records | | | |
| J41 | Project proposals -approved -rejected or deferred | | 10 years after completion of project 5 years after completion of project | |
| J42 | Project Initiation Documents and supporting documentation including business cases | 10 years after completion of the project | Records Management Retention Scheduling - Project Records | Determine on Review |
| J43 | European Projects | 15 years | Article 90 of the Council Regulations (EC) No 1083/2006 requires that supporting documents regarding expenditure and audit should be kept available for a period of seven years following the closure of the Programme. | Determine on Review |
| J44 | Project files (excluding estates) | | | |
| | Project files (over £100,000 on termination, including abandoned or deferred projects) | Review – 6 years after project completed | Records Management Retention Scheduling - Project Records | Determine on Review |
| | Project files (less than £100,000 on termination include) | Review – 2 years after project completed | Records Management Retention Scheduling - Project Records | Determine on Review |
| J45 | Publications internal, corporate identity. translations | When superseded See GMGR Section J37 for Patient/customer Information publications | | Destroy |
| J46 | Publication Scheme background papers relating to the development of the Publication Scheme | 10 years. Close when Publication Scheme finalised. | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|-----------------------------------|--|
| J47 | Finalised Publication Scheme | Permanently within the HSCB/Trust/Agency | | Permanent Preservation by the Organisation |
| J48 | Records related to recognised charter marks, standards, models e.g. investors in people | Until standard or charter mark has been reassessed or 10 years | | Destroy |
| 490 | Requests for access to records, other than Freedom of Information or subject access requests | 6 years after last action | | Destroy |
| J50 | Phone Message Books | 1 years NB Any clinical information should be transferred to the patient health record | | Destroy |
| J51 | Record of custody and transfer of keys | 6 years | | Destroy |
| J52 | Register of Board members' and Senior Managers' interests | 6 years after the person leaves the organisation | | Transfer to PRONI |
| J53 | Registered Staff Lists | 1 year | | Destroy |
| J54 | Reports (major) | 30 years | | Transfer to PRONI |
| J55 | Research and development records (scientific, technology, medical and other) | Review 5 years after the research has been completed. Where possible review of this material should be made in consultation with medical professionals involved in the trials. | | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|--|---------------------------------------|
| J56 | Clinical Trials of Investigational Medicinal Products (CTIMPs) | | http://www.ct-toolkit.ac.uk/ http://ec.europa.eu/health/files/eudralex/vol-1/dir_2003_63/dir_2003_63_en.pdf | |
| | Trial Master File (responsibility of Sponsor & Chief Investigator to ensure that documents are retained) | Five years after the conclusion of the trial | Regulation 31A(7) of the Medicines for Human Use (Clinical Trials) Regulations 2004 (as inserted by regulation 18 of the Medicines for Human Use (Clinical Trials) Amendment Regulations 2006 http://www.ct-toolkit.ac.uk/routemap/trial-master-file | Destroy |
| | Research Ethics Committee Records | Five years after the conclusion of the trial. | | Destroy under Confidential conditions |
| | Trial Subject's Medical Files (Sponsor & Chief Investigator's responsibility to ensure retained) | There should be a flag or divider in health records for documents pertaining to research indicating that the patient has been recruited to a clinical trial or other research. | | Destroy |
| | Marketing authorisation (holders must arrange for essential clinical trial documents (including case report forms) other than subject's medical files, to be kept by the owners of the data): | 15 yrs after completion or discontinuation of the trial, or two years after the granting of the last marketing authorization in the European Community and when there are no pending or contemplated marketing applications in the European Community. or two years after formal discontinuation of clinical development of the investigational product. | Paragraph 5.2(c) of Annex 1 to Commission Directive 2001/83/EC (as amended by Commission Directive 2003/63/EC (implemented in UK by the Medicines for Human Use (Marketing Authorisations Etc.) Regulations 1994 (as amended by regulation 7 of the Medicines for Human Use (Fees and Miscellaneous Amendments) Regulations 2003) | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|--|--------------|
| | Trial subject's medical files | <p>Retain in accordance with applicable legislation and in accordance with the maximum period of time permitted by the hospital, institution or private practice.</p> <p>NB: Documents can be retained for a longer period, however, if required by the applicable regulatory requirements or by agreement with the sponsor. It is the responsibility of the sponsor to inform the hospital, institution or practice as to when the documents no longer need to be retained.</p> | | Destroy |
| | All other documentation pertaining to the trial (retention of documentation is the responsibility of the sponsor or other owner of the data) | Retain as long as the product is authorised. | | Destroy |
| | Final Report (responsibility of sponsor or subsequent owner's to retain documents) | Five years after the medicinal product is no longer authorised. | | Destroy |
| | Data collected in the course of research | Retain for an appropriate period, to allow further analysis by the original or other research teams subject to consent, and to support monitoring by regulatory and other authorities. | <p>Research Governance Framework for Health and Social Care – paragraph 2.3.5</p> <p>Good Research Practice (MRC Ethics Series, 2000, updated 2005) – paragraph 5.2</p> <p>Personal Information in Medical Research (MRC Ethics Series, 2000, updated 2003) – chapter7</p> <p>Data Protection Act 1998 – Part IV, Section 33 (3)</p> | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|--|---------------------|
| J57 | Research and development (organisation) i.e. all the organisation's records associated with research and development and not individual trial records or information on patients. | 30 years | Medical Research Council | Determine on Review |
| J58 | Security Pass | Retain current only | | Destroy |
| J59 | Security policy covering the correct handling and safekeeping of Disclosure Information in line with Access NI Code of Practice (See also GMGR Section L1) | See GMGR Section J39 | Access NI Code of Practice | Destroy |
| J60 | Stock Control reports Stock Orders and Non Stock Orders | 2 years following the end of the financial year to which they relate | | Destroy |
| J61 | Stores records - major (stores ledgers etc) | 6 years following the end of the financial year to which they relate | | Destroy |
| J62 | Stores records - minor (requisitions, issue notes, transfer vouchers, goods received, books etc) | 2 years following the end of the financial year to which they relate | | Destroy |
| J63 | Supplies records - minor (e.g. invitations to tender and inadmissible tenders, routine papers relating to catering and demands for furniture, equipment, stationery and other supplies) | 2 years following the end of the financial year to which they relate | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|-----------------------------------|---------------------|
| J64 | Training Records (see also L58) | | | |
| | Training attendance lists | 2 years A record of attendance by an individual at a training course should be transferred to their personal record and retained as per L58. | | Destroy |
| | Training evaluation - general feedback provided at the end of training by the trainee | 2 years | | Destroy |
| | Training materials - manuals, videos, photographs created for the purposes of training staff | Until the course finishes or the course content changes plus 6 years | | Destroy |
| | Training Plans | 2 years | | Destroy |
| J65 | Trust documents without permanent relevance/not otherwise mentioned | 6 years | | Destroy |
| J66 | Unpublished material of the history of the Organisation or its predecessors, the organisation and procedures. | 10 years - Normal Review Process | | Determine on Review |
| J67 | Hospital (trust) services i.e. service that the Trust provides e.g. catering, hotel services. | 10 years | | Destroy |

K. Work Area - Pathology

Documents, Records, Specimens and Preparations - Transfusion Laboratories

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|----------------------------------|--|--|--|
| K | Pathology Records | Complete guidance on the retention of Pathology Records is contained within The Royal College of Pathologists - The retention and storage of Pathological records & specimens (5th Edition, 2015) This guidance should be followed. Organisations should ensure a copy of this guidance is downloaded and made available to staff. | The Royal College of Pathologists - The retention and storage of Pathological records & specimens 5th Edition, 2015) Human Tissue Act 2004 Human Tissue Act's Code of Practice 5, Disposal of Human Tissue http://www.hta.gov.uk/legislationpoliciesandcodesofpractice/codesofpractice/code5disposal.cfm EU Directive 2002/98/EC The Blood Safety and Quality Regulations 2005 (SI 2005 No. 50) | Records should be destroyed with the exceptions listed below |
| | Forensic Material Criminal Cases | Permanently Preserve (not part of the Health Record) | Para 157 The Royal College of Pathologists – The retention and storage of Pathological records & specimens 5th Edition, 2015) | Permanently Preserve |
| | Protocols of Standard Operating | 30 years | Para 39 The Royal College of Pathologists – The retention and storage of Pathological records & specimens 5th Edition, 2015) | Determine on review |
| | Records of Serious Events | 15 years | Para 153 The Royal College of Pathologists – The retention and storage of Pathological records & specimens 5th Edition, 2015) The Blood Safety and Quality Regulations 2005 (SI 2005 No. 50) | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--------------------------|--|---------------------|
| | Annual Reports (where required by the Blood Safety and Quality Regulations, 2005) | 15 years | Para 154 The Royal College of Pathologists – The retention and storage of Pathological records & specimens 5th Edition, 2015) | Determine on Review |

L. Work Area - Personnel

This section covers the information held on individuals, commonly called Personnel Files. The records held in Personnel Files cover six broad areas:

Employment and career, Health, Pay, Pension, Welfare, and Security.

All six areas of information may not be held on one central file but may be retained as separate collections. The retention of the records should follow these guidelines regardless of how or on what medium the records are held. Personal files of Chief Executives, Directors should always be transferred to PRONI.

Where a type of record has not been named specifically it may be possible to determine which category it best fits.

A previous retention period of until “age 72” for records required for pension purposes has been increased and such records should now be kept for 100 years from birth. Organisations are free to seek their own legal advice where there are cases of doubt. A personnel record can be kept longer than the recommended retention period if this is in accordance with legal advice. These retention periods are based on the guidance issued by the National Archives and endorsed by Cabinet Office. Both Medical Staff Records and Agency locums staff records should be treated as personnel and retained accordingly.

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|--------------|
| L1 | Agenda for Change documentation (e.g. job descriptions, comment sheets, panel Q&As) | Retain for 15 years after the case has been closed subject to all appeal procedures | | Destroy |
| L2 | Annual/ Appraisal or Summary of Performance | | | |
| | Reports/documentation | 5 years after end of current performance year | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|--------------|
| | Chief Executive/Directors Annual/Assessment Reports | Retain permanently in personal file | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| | Assessment Report where appeal or legal proceedings are underway | 5 years from the result of the appeal | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| | Report of Appeal | 5 years | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| | Assessment/ Performance Appraisal Interview/meeting Sheet | 5 years | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| | Assessment of Board Members (by Chairman) | 7 years | http://www.afmdni.gov.uk/pubs/DAOs/daodfp0807.doc | Destroy |
| | GP Appraisal Appraisee / Appraiser Records | 6 years after the appraisal year to which it relates. | In line with revalidation periods | Destroy |
| L3 | Annual Leave | | | |
| | Cards (held by individual members of staff) | 2 years | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| | Annual leave records | 2 years after end of current leave year | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|---|--------------|
| | Copy of Annual leave entitlement | As part of the contract of employment until age 100 | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L4 | Attendance Book/Register | 2 years | | Destroy |
| L5 | Career History – Consolidated record of whole career and location details inc Promotions, temporary promotion and/or substitution documentation, transfer documents, training history, recruitment, appointment and/or promotion board selection papers | Until age 100 | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| | Career Development | See GMGR Section L54 | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L6 | Current address details | 6 years after employment has ended | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L7 | Change of grade notification | Until age 100 | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L8 | Clinical Excellence database records (pensionable) | 100 years see also L37 | | |
| L9 | Commendations | Until age 100 | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|---------------------|
| L10 | Consultants, Senior staff (records relating to the recruitment of) | 5 years | NHS (Appointment of Consultants) Regulations, good practice guidelines, page 11, para. 5.3 http://www.dh.gov.uk/assetRoot/04/10/27/50/04102750.pdf | Destroy |
| L11 | Non-Executive Directors/Public Appointments CVs, all records relating to appointments, any performance papers held separately from appointment papers. | In the case of an individual holding appointments in more than one public body, each department should independently manage their own files in line with this guidance. | http://www.dfpni.gov.uk/index/finance/afmd/afmd-key-guidance/afmd-daos/daodfp0807.pdf | |
| | successful | Review 7 years following term of office/appointment (including reappointment) Where a publicly funded organisation has been the subject of an investigation which has led to significant criticism or prosecution, | DAO (DFP) 08/07 retain for 10 years from the date of conclusion of the investigation or prosecution. ADDENDUM TO DAO (DFP) 08/07 | Determine on Review |
| | unsuccessful applicants | 2 years following application | | Destroy |
| L12 | Decree absolutes | Return originals to provider, retain copy until Age 100 | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L13 | Disciplinary Records | | | |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|---|--------------|
| | Papers relating to disciplinary action of an individual which has resulted in any change to terms and conditions of service, salary, performance pay or allowances | Until age 100 | | Destroy |
| | <p><u>Alert Letters for Health and Care Professionals</u></p> <p>The record of the incident which has led to the concern</p> <p>Records of any disciplinary action taken by the organisation</p> <p>Records created by the Department (para) 17 HSC JNF(1)2010</p> | | <p>Issue of Alert Letters for Health Care Professionals under investigation by HSC Employers HSC JNF(1) 2010</p> <p>Manage as per A3 and A6</p> <p>Managed as L13 above</p> <p>Managed as L13 above</p> | |
| | Papers relating to the investigation and determination by the Regional Health and Social Care Board (HSC Board), of questions whether chemists, dentists, ophthalmic medical practitioners or opticians have failed to comply with their terms of service. Also papers relating to any appeal against HSC Board decisions. | 6 years following the conclusion of investigation and any subsequent appeals | The Health and Social Care (Disciplinary Procedures) Regulations (NI) 2014 (S.R. No. 267) | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|---------------------|
| L14 | Doctors and Dentists – records regarding concerns about conduct, health or performance | Until age 100 | | Determine on Review |
| L15 | Duty rosters clock cards, time sheets | | | |
| | Duty rosters clock cards, time sheets. | 2 years | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| | Organisation or departmental duty rosters, not the ones held on the individual's record. | 4 years after the year to which they relate | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| | Time Sheets (relating to a group or Department e.g. Ward where the timesheets are kept as a tool to manage resources, staffing levels) | 6 months | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| | Timesheets (for individual members of staff) | 2 years after the year to which they relate NB Timesheets (for all individuals including locum doctors) held on the personnel record are minor records – retain for 2 years. | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L16 | Employment checks | | | |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|---|---|
| | <p>Access NI checks with effect from April 2008 (see Glossary)</p> <p>original information and all copies</p> <p>(See also GMGR Section J60). Prior to these arrangements, checking processes were accommodated under PECS (1982 – March 2005, See Glossary), which was replaced by POCVA (April 2005 – March 2008, See Glossary)”</p> | <p>Until final decision about the applicants suitability is determined. This should not exceed 6 months.</p> <p>Access NI will approve the retention of the disclosures for a longer period in exceptional circumstances and where there is a requirement to retain so that the RQIA can have access to fulfil its statutory duties.</p> | <p>Access NI Code of Practice in accordance with section 122(2) of the Police Act 1997</p> <p>Explanatory Guide to the Code</p> | <p>Destroy immediately by shredding, pulping or burning</p> |
| | <p>A record should be kept on the personnel file of:</p> <ul style="list-style-type: none"> • The date of the disclosure • The name of the subject of the disclosure • The type of the disclosure namely, whether it is the Basic, Standard or Enhanced type • The position which the disclosure was applied for • The unique number that was issued by Access NI for that Disclosure; and <p>The recruitment decision taken</p> | <p>Age 100</p> <p>The records should be signed and dated by a person of sufficient authority and seniority who could represent the organisation in court.</p> | <p>The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance</p> | <p>Destroy immediately by shredding, pulping or burning</p> |
| | <p>National Security Vetting (NSV)</p> | | | <p>Destroy</p> |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|---|--------------|
| | <ul style="list-style-type: none"> • Copy of completed form • Copy of vetting certificate • Name of individual • Post held • Level of clearance • Staff Number • Vetting Reference Number • Date clearance granted <p>Date Clearance expires</p> | <p>Copy of form deleted six months after clearance at SC or CTC is granted. The vetting certificate is retained for:-</p> <ul style="list-style-type: none"> ○ 5 years after the individual has retired at the normal retirement age ○ 10 years after the individual has retired or left before the normal retirement age, but not exceeding a period of 5 years after the normal retirement age. ○ 1 year after the individual's death. Records deleted after clearance expires, or when employee no longer works for the Department. <p>Other records maintained by the ADSO are deleted on expiry of the clearance, or when individual is no longer employed by the Department.</p> | Cabinet Office guidance | |
| L17 | Employee Welfare Reports and Papers | 6 years from closure of case | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L18 | Exposure monitoring records | 5 years from the date the record was made | Control of Substances Hazardous to Health Regulations 2002 (reg.10(5)) | Destroy |
| L19 | Health declaration | Until age 100 | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L20 | Health referrals– including Medical Reports from doctors and consultants and any correspondence with the Occupational Health Service | Until age 100 | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|---------------------|
| L21 | History records of pay scales | Permanent | | Retain permanently |
| L22 | HRMS | Refer to individual record types in this section | | Destroy |
| L23 | Income Tax form P45 | Until age 100 | | Destroy |
| L24 | Industrial relations (not routine staff matters), including industrial tribunals | 10 years - Normal Review Process | | Determine on Review |
| L25 | Interview documentation successful | 3 years following termination of employment | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L26 | Job advertisements successful | 3 years following termination of employment | | Destroy |
| L27 | Job applications successful | 3 years following termination of employment | | Destroy |
| L28 | Job Applications – Unsuccessful | | | |
| | Documents | 3 years from closure of competition | | Destroy |
| | Interview Documentation | 3 years from closure of competition | | Destroy |
| | Note confirming that an Access NI check was carried out and offer of appointment withdrawn | Until final decision about applicants suitability is determined. This should not exceed 6 months. | | Destroy |
| | Equality Monitoring returns | 3 years | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|--|
| L29 | <p>Job descriptions</p> <p><u>HSC</u></p> <p><u>Department</u></p> <p>Job descriptions Senior Civil Service and analogous status posts</p> <p>All other job descriptions</p> | <p>3 years (following termination of employment where it relates to a person) Agenda for Change see L1</p> <p>10 (following termination of employment)</p> <p>5 years after being finalised</p> | | <p>Destroy</p> <p>Determine on Review</p> <p>Destroy</p> |
| L30 | Leavers dossiers (provided a summary retained) | 6 years after subject leaves the service | | Destroy |
| | Leavers dossiers Summary (retained on file) | Age 100 | | Destroy |
| L31 | Letter of appointment/contracts | Life of file – Age 100 | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L32 | Marriage certificate and documentation relating to civil registration | <p>Return originals to provider</p> <p>Retain copy until age 100</p> | | Destroy |
| L33 | Medical/Self certificates unrelated to Industrial Injury (see also GMGR Section L39) | 4 years from end of period of sickness to which it relates | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L34 | Records of Location of Overseas Service | Until age 100 | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--------------------------------------|---|--------------|
| L35 | Records of Previous Service | Until age 100 | | Destroy |
| L36 | Nurse training records (from hospital-based nurse training schools prior to the introduction of academic-based training) | 30 years | | Destroy |
| L37 | Overpayment documentation | 6 years after repayment or write-off | | Destroy |
| | Performance Pay | 7 years | | Destroy |
| | Special Bonus Papers | 6 years plus current financial year | | Destroy |
| | Third party client/advances in lieu of pay | 6 years plus current financial year | | Destroy |
| | Eyesight test documents | Retain currently only | | Destroy |
| L38 | Housing advance | 6 years plus current financial year | | Destroy |
| L39 | Papers relating to any injury on duty | Until Age 100 | The National Archives – Employee and Personnel Records Good Practice Guidance (March 2006) | Destroy |
| L40 | Part-time/Job sharer/Term time applications, decisions | Until age 100 | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--------------------------|--|--------------|
| L41 | Personal Payroll History: Records of pay Performance pay Overtime pay Allowances (incl deputising and substitution) Pay enhancements Other taxable allowances Payment for untaken leave Reduced pay No pay Statutory sickness/maternity leave and pay Complete sickness absence record | Until Age 100 | The National Archives – Employee and Personnel Records Good Practice Guidance (March 2006) | Destroy |
| L42 | Pension Forms (all) | | | |
| | Pension forms that relate to monies received, monies owed, payments made and administration of the HSC Pension Scheme | 7 years | HMRC Technical Pension Notes for registered pension schemes under regulation 18 of SI2006/567 – ‘RPSM12300020 – Scheme Administrator Information Requirements and Administration for General Retention of Records’ | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|--|--------------|
| | Pensions estimates/awards | 7 years | HMRC Technical Pension Notes for registered pension schemes under regulation 18 of SI2006/567 – ‘RPSM12300020 – Scheme Administrator Information Requirements and Administration for General Retention of Records’ | Destroy |
| L43 | Qualifications and References | 6 years after employment has ended | | Destroy |
| | Professional Qualifications (i.e.) medical, scientific, technical | Until age 100 | | Destroy |
| L44 | Resignation/termination/retirement letters | Until age 100 | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L45 | Return to Work Interviews | 4 years | | Destroy |
| L46 | Security Personnel Files | 5 years after leaving (if at normal retirement age) or 10 years after leaving (if before normal retirement age) | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L47 | Special Leave | | | |
| | Application for special leave/study leave – Paid | 7 years | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| | Application for special leave/study leave – Unpaid | Age 100 | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|---|------------------------------|
| | Unpaid Leave periods (maternity leave etc.) | Age 100 | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L48 | Staff car parking permits | 3 years | | Destroy |
| L49 | Staff photographs – held in personal file | Until age 100 | | Destroy as per Personal file |
| L50 | Statutory maternity and statutory sick pay documents | 6 years plus current financial year | | Destroy |
| L51 | Temporary variation forms | 3 years after employment has ended | | Destroy |
| L52 | Trade Union Schedules | 1 year after employment has ended | | Destroy |
| L53 | Building Society references. Salary requests from bank/building society pay details | 6 months from closure | | Destroy |
| L54 | Substances Hazardous to Health Records | | | |
| | Monitoring exposure of employees to substances hazardous to health record | Where the record is representative of the personal exposures of identifiable employees for at 40 years or in any other case for at least 5 years from the date of the last entry made in it. | Control of Substances Hazardous to Health Regulations (NI) 2003 (reg.10(5)) | Destroy |
| | Health surveillance records of employees who are, or are liable to be exposed to a substance hazardous to health | 40 years from the date of the last entry made in it | Control of Substances Hazardous to Health Regulations (NI) 2003 (reg.10(5)) | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|--|--------------|
| | Health surveillance records of employees who are, exposed to asbestos | 40 years after last record | Control of Asbestos Regulations (NI) 2007 (reg. 22) | Destroy |
| | Health surveillance records of employees who are, exposed to compressed air | 40 years from date of last entry | Work in Compressed Air Regulations (NI) 2004/241 | Destroy |
| | Health surveillance records of employees who are, exposed to lead | 40 years from date the last entry made | Control of Lead at Work Regulations (NI) 2003 (reg.10(5)) | Destroy |
| | Records relating to doses of ionising radiation received by employees designated as classified persons | 50 years from date of the last entry | Ionising Radiations Regulations (NI) 2000 (reg. 21) | Destroy |
| | Health surveillance records of relevant employees engaged in work with ionising radiation | 50 years from date of the last entry | Ionising Radiations Regulations (NI) 2000 (reg. 21) | Destroy |
| | Record of assessment of any accident or occurrence likely to result in a person receiving an effective dose of ionising radiation | 50 years from date of the last entry | Ionising Radiations Regulations (NI) 2000 (reg. 21) | Destroy |
| L55 | Superannuation | | | |
| | Accounts | 10 years | The National Archives – Employee and Personnel Records Good Practice Guidance (March 2006) | Destroy |
| | Added voluntary contributions | Until age 100 | The National Archives – Employee and Personnel Records Good Practice Guidance (March 2006) | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|--|--------------|
| | Added years | Until age 100 | The National Archives – Employee and Personnel Records Good Practice Guidance (March 2006) | Destroy |
| | Registers | 10 years | The National Archives – Employee and Personnel Records Good Practice Guidance (March 2006) | Destroy |
| | Death benefit nomination and revocation forms | Until age 100 (Return originals to provider) | The National Archives – Employee and Personnel Records Good Practice Guidance (March 2006) | Destroy |
| | Death certificates | Retain copy until Age 100 (Return originals to provider) | The National Archives – Employee and Personnel Records Good Practice Guidance (March 2006) | Destroy |
| L56 | Tax forms – change of tax code | 7 years | | Destroy |
| L57 | Training plans | see GMGR Section J64 | | Destroy |
| L58 | Training records – all staff (This is a personal record of all training received and attended by individual staff members) | Age 100 or 6 years after employment has ended whichever is the later. For independent contractors the minimum retention should be the duration of employment plus 3 years, although it is recommended the duration of employment plus 6 years | | Destroy |
| L59 | Transport (staff pool car documentation) | 3 years unless litigation ensues | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|--|--------------|
| L60 | Volunteer records | Organisations should obtain their own legal advice about the manner in which volunteers should be selected and vetted, the responsibilities they may be given, the extent to which they are supervised and how their conduct should be monitored etc. The legal advice may advise that the Organisation should treat volunteers for record retention purposes the same as employees in the Trust. In such cases the appropriate classifications in GMGR should be followed. The legal advice might advise that the records do not need to follow the same retention purposes as employees and in such cases L27 is considered adequate. | See http://www.nhsemployers.org/Aboutus/Publications/Pages/VolunteeringPack.aspx | |
| L61 | Wages/Salary records | | | |
| | Authorisation fro deputising, substitution allowance and/or overtime/travel time claim | 6 years plus current financial year | | Destroy |
| | Bank details – current only | 6 years plus current financial year | | Destroy |
| | Category analysis print outs | 2 years after employment has ended | | Destroy |
| | Clock cards and time sheets | 2 years after employment has ended | | Destroy |
| | Computer payroll printout | 7 years after employment has ended | | Destroy |
| | Cumulative adjustment forms | 2 years after employment has ended | | Destroy |
| | Payment analysis print outs | 2 years after employment has ended | | Destroy |
| | Payroll input forms | 6 years plus current financial year | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|---|--------------|
| | Variation of hours – calculation formula for individual actual hours worked is covered under Written Particulars of Employment | 6 years after end of current financial year | | Destroy |
| L62 | Working Time Directive opt out forms | 3 years after the opt out has been rescinded or has ceased to apply | The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance | Destroy |
| L63 | <u>Workforce Planning</u> Records documenting the assessment, development, planning, management and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements | 10 years | | Destroy |
| L64 | Efficiency and Effectiveness Casework; National Fraud Initiative; Policy and Strategy Development; JEGS; JESP | 7 years | | Destroy |
| L65 | Written Particulars of Employment – Contracts of Employment Changes to terms and conditions, including change of hours, Official Secrets Acts forms, Oath of Allegiance forms | Until age 100 | | Destroy |

M. Work Area - Pharmacy

Pharmacy records are categorised in three sections for your ease, Community, Hospital and All Pharmacy disciplines. However Pharmacists should be aware that guidance in any of these sections may be applicable to your practice.

Community Pharmacy

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--------------------------------------|---|-----------------------------------|--------------|
| M1 | Accountable Officer Records | See GMGR Section J28 | | |
| M2 | Extemporaneous worksheets | 6 years | | Destroy |
| M3 | Patient Records | | | |
| | Patient Medication Record | Adults 6 years after the conclusion of treatment. Children and young people – Until the patient's 25th birthday or 26th if the young person was 17 at the conclusion of treatment or 8 years after death. | | Destroy |
| | Immunisation and vaccination records | See GMGR Section G56 | | |
| | Minor Ailments Service | Adults - 8 years after the conclusion of treatment Children and young people – Until the patient's 25th birthday or 26th if the young person was 17 at the conclusion of treatment or 8 years after death. | | Destroy |
| | Documented Clinical Interventions | 2 years | | Destroy |
| | Sexual Health Record | see GMGR Section G47 | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|--|--------------|
| | Smoking cessation | 8 years after the conclusion of treatment. Children and young people – Until the patient's 25th birthday or 26th if the young person was 17 at the conclusion of treatment or 8 years after death. | | Destroy |
| M4 | Prescriptions | | | |
| | Unlicensed Medicines / 'Specials' dispensing record | 5 years | MHRA Guidance Note 14 | Destroy |
| | Private Prescription Book | 2 years after last entry (5 years after last entry for veterinary prescriptions) | Regulation 253 The Human Medicines Regulations 2012 Veterinary Medicines Regulations 2013 (SI 2033) Regulation 23 | Destroy |
| | Private Prescriptions (for controlled drugs see M20) Veterinary prescriptions | 2 years 5 years for original or copy of veterinary prescriptions | Regulation 253 The Human Medicines Regulations 2012 Veterinary Medicines Regulations 2013 (SI 2033) Regulation 23 | Destroy |
| M5 | Product Recalls | | | |
| | Those holding a wholesale dealer licence | Records must be maintained in accordance with the terms of the licence | | Destroy |
| | Pharmacies not holding a wholesale dealer licence | Records should be retained in accordance with professional guidance | | Destroy |
| M6 | Requisitions | | | |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--------------------------|---|--------------|
| | HS21S – copy of stock order | 2 years recommended | | Destroy |
| | Private stock requisitions (excluding veterinary requisitions) | 2 years | Regulation 253 The Human Medicines Regulations 2012 | Destroy |

Hospital Pharmacy

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|-----------------------------------|--------------|
| M7 | Accountable Officer Records | See GMGR Section J328 | | Destroy |
| M8 | Clinical / Trials | See GMGR Section J56 and GMGR Section J57 | | |
| M9 | External Orders and Delivery notes | GMGR Section F12 and F19 | | Destroy |
| | Picking tickets / ward delivery notes | 3 months (for a "reasonable" period for verification of order only) | | Destroy |
| | Ward / department requisition sheets & receipts | GMGR Section J 62 | | Destroy |
| | Requests made by ward pharmacists | 2 years | | Destroy |
| | Ward / Department Medicine Transfer Forms | 2 years | | Destroy |
| | Returns Dockets (wholesaler and ward / department) | 2 years following the financial year to which they relate | | Destroy |

| | | | | |
|-----|--|--|--|---------|
| M10 | Medicines Information | | | |
| | Provision of Information to another person e.g. drug information enquiry | 8 years (enquiries relating to children, fertility, gynaecology and obstetrics should be kept for up to 25 years) | | Destroy |
| | Clinical Interventions | Record to be added to patient's notes / Patient Medication Record and retain for the period of time appropriate to the patient/speciality . Within the hospital setting the duplicate should be kept for 2 years. Clinically significant interventions should be recorded directly on the patient's notes. | | Destroy |
| M11 | Patients' Own Drugs | | | |
| | Consent for and destruction of POD (excluding controlled drugs-see M20)) | 6 months | | Destroy |
| | Overdose / poisoning drug records | 3 years where there is police involvement / coroner's inquest 1 year for all others | | Destroy |
| M12 | Prescriptions | | | |
| | Chemotherapy / Cytotoxic | 2 years after last chemotherapy treatment | | Destroy |
| | Discharge, outpatient, skin clinic and private prescriptions, Parenteral Nutrition. CIVAS and Specialist Medicines Prescriptions. | 2 years | | Destroy |

| | | | | |
|-----|---|---|---|---------|
| | Unlicensed Medicines / Dispensing record, | 5 years | For supply of unlicensed medicines Requirement of MHRA Guidance Note No.14. | Destroy |
| | Consultant authorisation letter | 5 years | | Destroy |
| | Immunoglobulin / blood products | See GMGR K | | Destroy |
| M13 | Product Defect Forms | | | |
| | Product Recall– DHSSPS & Ward recall Records | 5 years – No legal / statutory requirements | | Destroy |
| M14 | Quality Assurance | | | |
| | Equipment validation / calibration | See GMGR Section D1 | | Destroy |
| | Environmental monitoring results | 1 year after the expiry dates of products | | Destroy |
| | Quality Control documentation, certificates of analysis | 5 years or 1 year after expiry date of batch, whichever is longer. | | Destroy |
| | Medical gas testing | Records retained throughout the lifetime of the installation and 2 years after installation has been modified or retested or closure of the facility. | | Destroy |
| M15 | Records for Ambulance Bags and Resuscitation boxes | 1 year after the expiry of the longest dated item | | Destroy |
| M16 | Security | | | |
| | List of Users ID & Privileges | See GMGR Section H9 | | Destroy |

| | | | | |
|-----|--|--|--|---------|
| | Departmental on-call records, duty rotas. (Records of community pharmacy rotas will be managed by HSCB) | See GMGR Section L15 | | Destroy |
| M17 | Staff signature lists | Duration of Contract plus 1 year | | Destroy |
| M18 | Stock checks and stock adjustments | See GMGR Section J60 | | Destroy |
| M19 | Worksheets | | | |
| | Chemotherapy/ aseptics, Parenteral Nutrition, PCA worksheets Production batch records Raw material request and control forms | 5 years Where product liability exists this is extended up to 11 years after expiry. For paediatric worksheets product liability extends to up to 28 years | | Destroy |

All Pharmacy Disciplines

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--------------------------|---|--------------|
| M20 | Controlled Drug (CD) | | | |
| | Requisitions (Hospital Pharmacy) (including ward / department copies) | 2 years | Misuse of Drugs Regulations (Northern Ireland) 2002 | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|---|--------------|
| | Requisitions (Community Pharmacy) HS21S Private- Schedules 2 & 3 Private - Schedules 4 & 5 | Recommend a copy is retained for 2 years Recommend retain copy for 2 years Retain original for 2 years | Regulation 253 The Human Medicines Regulations 2012 | Destroy |
| | Bearer's note | 2 years | | Destroy |
| | Midwife's Supply Order | 2 years | Misuse of Drugs Regulations (Northern Ireland) 2002 (as amended) | Destroy |
| | Controlled Drugs Registers | Paramedic CD registers to be retained in accordance with the terms of their licence. 2 years from the date of last entry although it is recommended that Community Pharmacy and GP registers are retained for 5 years and Hospital Pharmacy registers for 11 years. | Misuse of Drugs Regulations (Northern Ireland) 2002 (as amended) | Destroy |
| | Controlled drug prescriptions (Hospital Pharmacy) | 2 years | Misuse of Drugs Regulations (Northern Ireland) 2002 | |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|--|--------------|
| | Controlled drug prescriptions (Community Pharmacy) HSC Private Schedules 2 & 3 Schedules 4 & 5 | Send to BSO. Send to BSO and recommend retain copy for 2 years. Retain original for 2 years. | Misuse of Drugs Regulations (Northern Ireland) 2002 Regulation 253 The Human Medicines Regulations 2012 | |
| | Ward / Department CD Record Books (ward registers) | 11 years from last entry | Recommendation of 11 years based on NI response to 4th Report Shipman Inquiry | Destroy |
| | Destruction of patients' own Controlled Drugs | No Legal Requirement although it is recommended that Community Pharmacies retain them for 5 years and Hospital Pharmacies retain them for 7 years. | | Destroy |
| M21 | Competency / training records | See GMGR Section L58 | | Destroy |
| M22 | Invoices | See GMGR Section F30 | | Destroy |
| M23 | Medication Incidents | See GMGR Section A2 – A4 and GMGR Section A6 | | Destroy |
| | Records of internal pharmacy dispensing errors which are near misses and their associated statistics | One year plus current year (or longer if specified by professional guidance or organisational policy) | | Destroy |
| M24 | Patient Group Directions (PGDs) | See GMGR Section G86 | | Destroy |
| M25 | Refrigerator temperature records | see GMGR E22 | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--------------------------|---|--------------|
| M26 | Record of Medicines posted / delivered to patients Record of patient consent for collection or delivery service | 2 years from last entry | Supplementary Guidance for Pharmacists in Northern Ireland on the Provision of Prescription Collection and/or Delivery Services February 2011 | Destroy |
| M27 | Responsible Pharmacist Pharmacy record | 5 years | Regulation 5(4) of the Medicines (Pharmacies) (Responsible Pharmacist) Regulations 2008 (SI 2008/2789) | Destroy |
| M28 | Superseded standard operating procedures | 15 years | | Destroy |

O. Work Area - Regulation

Early Years Services including .registered child minding and daycare, playgroups and support provided to Surestarts etc

| Ref | Record Type | Minimum Retention Period | Relevant legislation / Derivation | Final Action |
|-----|---|--|-----------------------------------|--------------|
| O1 | Administrative records relating to the registration, inspection and running of the service. Administrative records relating to the approval of home child carers | 8 years from the date of the last entry | | Destroy |
| O2 | Case records/notes from service provider (from referral to closure) related to each child/family receiving the service, e.g. care plan, reviews, consents, contact records, etc | 8 years from the date of the last entry. | | Destroy |

Establishments and Agencies

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|-----------------------------------|---------------------|
| O3 | Adult Placement Agencies - administrative records, e.g. statement of purpose; service user's guide; placement agreement and amendments; carer agreements; handbooks; reports on the conduct of the agency; quality reviews; and improvement plans. | 8 years from the date of the last entry. | | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|--|---------------------|
| O4 | Adult Placement Carers - Approved /Not approved suitable/ Uncompleted or Withdrawn: Records, which include applications; case records/notes; assessments; support/counselling; specified health and health related information; information received from 3rd parties; reviews; case summaries; contact records, and Adult Placement Panel records, minutes and papers etc; | 8 years from the date of the last entry. 3 years for records related to inquiries which do not proceed beyond initial information and counselling stages. | | Determine on Review |
| O5 | Adult Placement Carers - information and documents specified in Schedule 3 | 8 years from the date of the last entry. | The Adult Placement Agencies Regulations (Northern Ireland) 2007 Reg. 21 & Schedule 3 The Adult Placement Agencies Regulations (Northern Ireland) 2007 | Determine on Review |
| O6 | Adult Placement Agencies - individual's service users records/notes related to activity within the placement, e.g. assessments, service user's plan and reviews; and the information, documents and other records specified in Schedule 4 relating to the service user. | 8 years from the date of the last entry. | The Adult Placement Agencies Regulations (Northern Ireland) 2007 Reg. 21 and Schedule 4 The Adult Placement Agencies Regulations (Northern Ireland) 2007 | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|--|---------------------|
| O7 | Children's Homes - administrative records relating to the running of the children's home, including a record in the form of a register of each child accommodated in the children's home and other records set out in Schedule 4. | retain for at least 15 years from date of last entry, except for records of menus which need be kept only for one year. | The Children's Homes Regulations (Northern Ireland) 2005 – Reg.28 and Schedule 4 The Children's Homes Regulations (Northern Ireland) 2005 | Determine on Review |
| O8 | Children's Homes - administrative records other e.g. the statement of purpose; children's guide; reports on the conduct of the home; reports on the assessment of quality of services including matters set out in Schedule 6 to the Children's Homes Regulations (NI) 2005; improvement plans; and RQIA reports etc | 15 years from date of last entry, | | Determine on Review |
| O9 | Children's Homes - case records (from referral to closure) maintained by the home in respect of each child accommodated in the children's home e.g. placement plan; care plans; reviews; and, in respect of each child, the information and other records set out in Schedule 3. | 75 years from 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 of the child. | The Children's Homes Regulations (Northern Ireland) 2005 – Reg.27 and Schedule 3 The Children's Homes Regulations (Northern Ireland) 2005 | Transfer to PRONI |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|---|--------------|
| O10 | Day Care Settings e.g. day centres, adult centres, outreach schemes - administrative records relating to the running of the service e.g. statement of purpose; service user's guide; accounts; a copy of all inspection reports; employment records; duty roster; complaints and action taken; accidents/ incidents; food provided; and the other records specified in Schedule 5. | 8 years from the date of the last entry. | The Day Care Setting Regulations (Northern Ireland) 2007 Reg. 19(2), Reg. 19(4) & Schedule 5 | Destroy |
| O11 | Day Care Settings - individual's case records/notes (from referral to closure) related to activity within the service, e.g. assessment of need and service user's plan; record of medicines; accidents/incidents; healthcare provision; correspondence, etc and the information, documents and other records specified in Schedule 4. | 8 years from the date of the last entry. | The Day Care Setting Regulations (Northern Ireland) 2007 Reg. 19(1)(a), Reg. 19(4) & Schedule 4 | Destroy |
| O12 | Domiciliary Care Agencies, e.g. home help, domiciliary, sitting services, in-home respite, family aide, etc - administrative records relating to domiciliary care workers and service users; records relating to training and development of staff and other records specified in Schedule 4; and a record of each complaint, including details of the investigations made, the outcome, and any action taken in consequence. | 8 years beginning on the date of the last entry | The Domiciliary Care Agencies Regulations (Northern Ireland) 2007 Reg. 21 & Schedule 4 For records of complaints Reg. 22(8) | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|--|---------------------|
| O13 | Domiciliary Care Agencies - administrative records, e.g. statement of purpose; service user's guide; reports on the assessment of quality of services; improvement plans; inspection reports, etc. | 8 years beginning on the date of the last entry | | Destroy |
| O14 | Domiciliary Care Agencies – service provider's individual's case records/notes (from referral to closure) related to the individual/child/family receiving the service, e.g. care plan, detailed record of prescribed services (i.e. personal care and assessments of the need for such care), how services will be provided, contact records, records held by service users, etc. | 8 years beginning on the date of the last entry | | Destroy |
| O15 | Independent Health Care Establishments and Agencies, i.e. independent hospitals; clinics and medical agencies - administrative records, e.g. register of patients; register of all surgical operations performed; register of all events which must be notified to the RQIA; a written record of suspected, alleged or actual incidents of abuse including details of the investigation, the outcome and action taken; all other records specified in Part II of Schedule 3 to the regulations; and a record of each complaint including details of the investigations made, the outcome and any action taken in consequence.. | 3 years beginning on the date of the last entry | The Independent Health Care Regulations (Northern Ireland) 2005 Regulation 21 Part II of Schedule 3 to the regulations | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|--------------|
| O16 | <p>Independent Health Care Establishments and Agencies, - a comprehensive medical record in relation to each patient, which includes:</p> <p>(i) a contemporaneous note of all treatment provided to him;</p> <p>(ii) his medical history and all other notes prepared by a health care professional about his case.</p> | <p>(a) For a patient who was under the age of 17 at the date on which the treatment to which the records refer was concluded - until the patient's 27th birthday.</p> <p>(b) For a patient who was aged 17 at the date on which the treatment to which the records refer was concluded - until the patient's 27th birthday.</p> <p>(c) For a patient who died before attaining the age of 18 - a period of 10 years beginning on the date of the patient's death.</p> <p>(d) For a patient who was treated for mental disorder during the period to which the records refer – a period of 20 years beginning on the date of the last entry in the record.</p> <p>(e) For a patient who was treated for mental disorder during the period to which the records refer and who died whilst receiving treatment – a period of 10 years beginning on the date of the patient's death</p> <p>(f) For a patient whose records relate to treatment by a general practitioner - a period of 10 years beginning on the date of the last entry.</p> <p>(g) All other cases - a period of 10 years beginning on the date of the last entry in the record.</p> | <p>The Independent Health Care Regulations (Northern Ireland) 2005</p> <p>Regulation 21</p> <p>Part I of Schedule 3 to the regulations as amended by Regulation 2 (12) of the Regulation and Improvement Authority (Independent Health Care) (Fees and Frequency of Inspection) (Amendment) Regulations (Northern Ireland) 2011 (No. 17).</p> | Destroy |
| O17 | Nursing Agencies – records relating to the supply of nurses, training and development of staff and other records as set out in Schedule 4 | 8 years from the date of the last entry | <p>The Nursing Agencies Regulations (Northern Ireland) 2005</p> <p>Reg 18 & Schedule 4</p> | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|---|---------------------|
| O18 | Nursing Homes - administrative records pertaining to the running of the home e.g. statement of purpose; patient's guide; accounts; employment records; duty roster; complaints and action taken; food provided; and other records as out in Schedule 4. | 6 years from the date of the last entry | The Nursing Agencies Regulations (Northern Ireland) 2005 Reg. 19(2), Reg. 19(4) & Schedule 4 | Determine on Review |
| O19 | Nursing Homes - individual's case records/notes (from referral to closure) related to activity within the home, e.g. assessments of need and patient's plan; medicines; accidents/incidents; contemporaneous note of all nursing provided; healthcare plan and provision; correspondence; and other records as out in Schedule 3. | 6 years from the date of the last entry | The Nursing Agencies Regulations (Northern Ireland) 2005 Reg. 19(1)(a), Reg. 19(4) & Schedule 3 | Determine on Review |
| O20 | Residential Care Homes - administrative records pertaining to the running of the home e.g. statement of purpose; resident's guide; accounts; employment records; duty roster; complaints and action taken; food provided; and other records as out in Schedule 4. | 6 years from the date of the last entry | The Residential Care Homes Regulations (Northern Ireland) 2005 Reg. 19(2), Reg. 19(4) & Schedule 4 | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|--|---------------------|
| O21 | Residential Care Homes - individual's case records/notes (from referral to closure) related to activity within the home, e.g. assessments of need and associated care plans; medicines; accidents/incidents; contemporaneous note of all care and services provided; healthcare plan and provision, correspondence; and other records as out in Schedule 3. | 6 years from the date of the last entry | The Residential Care Homes Regulations (Northern Ireland) 2005 Reg. 19(1)(a), Reg. 19(4) & Schedule 3 Reg. 23(7) | Determine on Review |
| O22 | Residential Family Centres – service provider's case records/notes (from referral to closure) related to each child/family receiving the service, including the information, documents and other records specified in Schedule 3 | 15 years from date of last entry. | The Residential Family Centres (Regulations (NI) 2007 Reg. 22(1)(a), Reg. 22(3)(d) & Schedule 3. | Determine on Review |
| O23 | Residential Family Centres – administrative records pertaining to the operation of the establishment e.g. statement of purpose, residents guide, accounts, employment records, duty roster, complaints and action taken, food provided, inspection reports and other records as set out in Schedule 4. | 15 years from date of last entry. | The Residential Family Centres (Regulations (NI) 2007 Reg. 22(2), Reg. 22(3)(d) & Schedule 4. | Determine on Review |
| O24 | Voluntary Adoption Agencies records with respect to staff i.e. records to be kept in relation to each person working for the purpose of the Agency as specified in Schedule 3. | 15 years from the date of last entry | The Voluntary Adoption Agencies Regulations (NI) 2010 Reg.18 & Schedule 3 | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|--|---------------------|
| O25 | Voluntary Adoption Agencies other records i.e. related to applicants, birthparents, children, panels and post adoption work | see P1 – P6 inclusive | | Determine on Review |
| O26 | Voluntary Adoption Agencies – a written record of each complaint, including details of the investigation made the outcome and any actions taken in consequence. | 10 years from the date the record is made | The Voluntary Adoption Agencies Regulations (NI) 2010 Reg.13(3) | Determine on Review |

Northern Ireland Medical and Dental Training Agency

| Ref | Record Type | Minimum Retention Period | Relevant legislation / Derivation | Final Action |
|-----|--|---|---|--------------|
| O27 | <p>Trainees</p> <p>All records relating to:</p> <ul style="list-style-type: none"> • medical and dental trainees: their postings, assessments, courses, study leave, Less Than Full Time Training • Doctors or Dentists In Difficulty / Careers Advice: | See L58 - Age 100 or 6 years after employment has ended whichever is the later. For independent contractors the minimum retention should be the duration of employment plus 3 years, although it is recommended the duration of employment plus 6 years | After the doctor has finished training they may be employed as a consultant in a trust and will be subject to appraisals and revalidation by the GMC. | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant legislation / Derivation | Final Action |
|-----|--|---|--|--------------|
| O28 | Trainers All records relating to: <ul style="list-style-type: none"> • Medical, dental and consultant trainers, courses, workshops • training posts and their approval | 6 years after the completion of the training 6 years after recognition of the post for training has ended. | | Destroy |
| O29 | General Practice Retainer Scheme files | 6 years after end of retainer scheme contact | | Destroy |
| O30 | GP Appraisal Appraisee / Appraiser Records: | See L2 | | |
| O31 | Continuing Professional Development Information relating to courses offered by the Agency: <ul style="list-style-type: none"> • Course Details • Correspondence • Booking Records • Payment details • GP Appraisal 'Form 6A's' • Evaluation Feedback / Summaries | 6 years after the course has ended | Takes into account revalidation and finance payment record retention timelines | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant legislation / Derivation | Final Action |
|-----|--|--|-----------------------------------|--------------|
| O32 | Information relating to: <ul style="list-style-type: none"> • Deanery Visits to HSC Trusts and General Medical/Dental Practices • GMC Visits to the Northern Ireland Deanery | See J29 | | Destroy |
| O33 | Survey Reports | | | |
| | GMC | See J29 liaison between organisations relating to governance | | Destroy |
| | Deanery | 5 years | | Destroy |

Northern Ireland Social Care Council

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|-----------------------------------|---------------------|
| O34 | Live register of all social care workers. | Updated as necessary to reflect currently available information. | | Determine on Review |
| O35 | Records Relating to the Registration of Social Workers and Social Care Staff | Lifetime of registrant plus 10 years | | Destroy |
| O36 | Records in Relation to the Regulation/Conduct Of Social Workers and Social Care Staff, including: complaints; concerns; allegations (substantiated and un-substantiated); enforcement or decision; appeals; and appeals to Care Tribunal, etc | Lifetime of registrant or applicant plus 10 years | | Determine on Review |
| O37 | Records related to: (i) information received about individuals eligible to register on the social care register but not yet registered and (ii) preliminary investigations into unregistered social care workers not leading to enforcement | 30 years | | Destroy |
| O38 | Records in relation to the regulation of social work education and training, including regulation of the degree in social work and the provision of practice learning opportunities | Lifetime of the programme/learning opportunity provider plus 10 years | | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--------------------------------|-----------------------------------|---------------------|
| O39 | Records in relation to the regulation of post qualifying education and training for social workers | 15 years from date of approval | | Determine on Review |

Regulation and Quality Improvement Authority

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|-----------------------------------|---------------------|
| O40 | All records/materials which form a fundamental part of the record for undertaking the function of registration and inspection for all regulated services as specified in the relevant regulations, including records related to enforcement action; appeals to Care Tribunal, etc. | General: 8 years from the date of the last entry. Children's Homes and Residential Family Centres: 15 years from the date of the last entry. Voluntary Adoption Agencies: records with respect to staff 15 years from the date of the last entry. | | Determine on Review |
| O41 | All records/materials which form a fundamental part of the record for undertaking the function of inspection for schools which provide accommodation for children. | 15 years from the date of the last entry. | | Determine on Review |
| O42 | Duty of Quality Reviews with regard to services provided by HSC statutory bodies and their agents, including arrangements in which health and care services are provided, including records underpinning the review and supporting evidence. | 8 years from the date of the last entry. | | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|-----------------------------------|---------------------|
| O43 | General Registration Enquiries – records, notes and correspondence related to straightforward inquiries/requests for information (Excluding FOI/DPA Requests – see J26) and associated contacts, if any, which do not result in an application for registration. | 3 years after last contact | | Destroy |
| O44 | Live register of all regulated services | Updated as necessary to reflect currently available information. | | Determine on Review |
| O45 | Preliminary investigations into unregistered services not leading to enforcement | 3 years after last contact | | Destroy |

P. Work Area - Social Care - Children and Adults

Adoption

Regulation 7 of the Adoption Allowance Regulations (Northern Ireland) 1996 states that “The adoption Agency shall place a record of the details of each allowance in respect of a child on the case records that it is required to set up under the Adoption Agencies Regulations (Northern Ireland) 1989.

Records relating to payments which are not covered by the Adoption Allowance Regulations (Northern Ireland) 1996 and the Adoption Agencies Regulations (Northern Ireland) 1989 should be managed in accordance with requirements in the F Section of GMGR.

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|---|---------------------|
| P1 | Applicant - Approved suitable/ Adoption order granted/ Not approved suitable/ Uncompleted or Withdrawn: Case Records, which include applications; case records/notes; records of contact; assessments; support/counselling; specified health and health related information; information received from 3rd parties; reviews; case summaries; any report, recommendation or decision; placement, post adoption work, etc. | 75 years from date of decisions/granting order. | The Adoption Agencies Regulation (NI) 1989 Reg.14. | Determine on Review |
| P2 | Applicant - Case files, which relate to inquiries which do not proceed beyond initial information and counselling stages. | 40 years after last contact | | Determine on Review |
| P3 | Birth Parents - case records of birth parents and related support work pre and post adoption. | 75 years from adoption. | | Transfer to PRONI |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|--|-------------------|
| P4 | Children's case records, including relevant pre-adoption health, education and other 3rd party information, communications and reports requested for the purposes of adoption and indexes to case records; in-country tracing; inter-country tracing. | 75 years from date the adoption order is made | The Adoption Agencies Regulations (Northern Ireland) 1989 Reg.14. | Transfer to PRONI |
| P5 | Panel Records, minutes and papers. | 75 years after creation. | | Transfer to PRONI |
| P6 | Post adoption counselling - case records for children/adults who have been adopted and other children/adults affected by adoption. | 75 years after creation. | | Transfer to PRONI |

Adult case records – Fieldwork: all Programmes of Care

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|-----------------------------------|----------------------------|
| P7 | <p>Carer's Assessments - individual case records (from referral through to closure) including referrals; assessments; care/case management records; social work contacts and other HSC professional services, case conferences and reviews; 3rd party communications and reports (e.g. medical reports, etc); records related to direct payments, self-directed support, etc; legal documentation; correspondence; case-specific supervision; and case summaries, including closure summaries, integrated care plans, etc.</p> | <p>8 years after closure or death of individual.</p> | | <p>Determine on Review</p> |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|-----------------------------------|---------------------|
| P8 | <p>Client case files (not adult protection) - individual case records (from referral through to closure) including referrals; assessments (risk, core, complex, etc.) including records relating to financial assessments; care/case management records; social work contacts and other HSC professional services, case conferences and reviews; 3rd party communications and reports (e.g. adult placements, day care, domiciliary care, residential, respite, medical reports and specialist assessments, etc.); records related to direct payments, self-directed support, etc; legal documentation; correspondence; case-specific supervision; and case summaries, including closure summaries, integrated care plans, etc.</p> | 8 years after closure or death of individual. | | Determine on Review |

Adult Protection/Safeguarding

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|-----------------------------------|---------------------|
| P9 | Case files from referral through to closure, including referrals; screening; assessments (risk, core, complex, etc.); social work contacts; strategy/case conferences and reviews; care and protection plans; 3rd party communications and reports, including medical reports and specialist assessments; legal documentation; correspondence; case-specific supervision; and case summaries, including transfer summaries, etc. | 30 years after closure or death. | | Determine on Review |
| P10 | Offenders/Individuals who may pose a risk to Vulnerable Adults - Notifications and records in relation to offenders and unadjudicated individuals; PECS and POCVA case files; Public Protection Arrangements Northern Ireland; and Multi-Agency Risk Assessment Conferences. | 100 years from date of notification or 30 years after death. 10 years situations where the referral is based on erroneous or false information. | | Determine on Review |
| P11 | Referrals resulting in no further action and no further support services required. | 10 years after last action/entry. | | Destroy |
| P12 | Serious Case Reviews (SCR) - all records related to the SCR process from inception to publication and subsequent monitoring of action plans and learning. | 50 years after the completion of the SCR Report or the decision not to proceed with the SCR. | | Transfer to PRONI |

Child Protection/Safeguarding Children

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|-----------------------------------|---------------------|
| P13 | Case files from referral through to closure/transfer, including referrals; screening; initial assessment; pathway assessment; assessments; UNOCINI records; information relating to entry to and discharge from the child protection register; social work contacts; case conferences and reviews; core group meetings; 3rd party communications and reports (e.g. reports from other professionals/agencies/services); legal documentation; correspondence; case-specific supervision; and case summaries, including transfer/ closure summaries, etc. | 75 years after closure or 15 years after death of child if child dies before attaining the age of 18. | | Determine on Review |
| P14 | Case Management Reviews (CMR) – all records related to the CMR process from inception to publication and subsequent monitoring of action plans and learning. | 75 years after the completion of the CMR Report or the decision not to proceed with a CMR. | | Determine on Review |
| P15 | Offenders/Individuals who may pose a risk to Children - Notifications and records in relation to offenders and unadjudicated individuals; PECS and POCVA case files; Public Protection Arrangements Northern Ireland; Multi-Agency Risk Assessment Conferences; Circular HSS CC: 3/96 (Revised): Sharing to Safeguard, (September 2008) as amended 14 May 2009. | 100 years from date of notification or 30 years after death. 10 years for situations where the referral is based on erroneous or false information. | | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|-----------------------------------|--------------|
| P16 | Referrals resulting in no further action and no further child or family support services required and/or do not progress to a UNOCINI pathway assessment. | To the child's 18 th birthday or 3 years after last contact whichever is the later | | Destroy |

Children in Need – Family Support

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|-----------------------------------|---------------------|
| P17 | <p>Case files from referral through to closure/transfer, including gateway and UNOCINI records; referrals; screening; records relating to family support; social work contacts; case conferences and reviews; 3rd party communications and reports (including relevant domiciliary support; early years; family centres; respite/short breaks records relating to individuals/families); correspondence; case summaries, etc, including:</p> <p>(i) the support of disabled children and their families; and</p> <p>(ii) the support and supervision of children in need who are not looked after and who are not on the Child Protection Register and their families.</p> | Transfer to Adult Social Care, where appropriate, otherwise 20 years after closure of case. | | Determine on Review |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|-----------------------------------|-----------------------------------|---------------------|
| P18 | Family Centres – Non-residential: service provider's case records/notes (from referral to closure) related to each child/family receiving the service, | 15 years from date of last entry. | | Determine on Review |
| P19 | Family Centres – Non-residential: administrative records pertaining to the operation of the establishment e.g. statement of purpose, service user's guide, quality reviews etc. | 15 years from date of last entry. | | Determine on Review |

Children – Registers

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---|--|-------------------|
| P20 | Child Protection. | 75 years after creation of the record. | Co-operating to Safeguard Children, Chapter 5, 5.83 - 5.91 | Transfer to PRONI |
| P21 | Disabled children. | Entry in the register to be retained until the child to whom it relates reaches the age of 18 years. | | Transfer to PRONI |
| P22 | Persons who act as child minders on domestic premises. | Entry in the register to be retained for at least 8 years from the date on which the person to whom it relates ceases to be registered. | | Transfer to PRONI |
| P23 | Persons, other than the Trust, who provide day care for children under the age of 12 on premises other than domestic premises. | Entry in the register to be retained for at least 8 years from the date on which the person to whom it relates ceases to be registered. | | Transfer to PRONI |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|---|-------------------|
| P24 | Every child placed in an authority's area and every child placed by an authority outside its area. | Until the child to whom the entry relates attains the age of 23, or if the child dies before attaining 23, the period of 5 years beginning with the date of his death. | The Arrangements for Placement of Children (General) Regulations (NI) 1996 Reg. 10(5) | Transfer to PRONI |
| P25 | Register of Foster parents and others with whom a child is placed as specified in Reg. 12. | 10 years from the date on which his approval is terminated, or until his death, if earlier. | The Foster Placement (Children) Regulations (NI) 1996 Reg. 14(1) | Transfer to PRONI |

Community Development/Health Improvement Initiatives & Partnerships

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|---------------------------------------|-----------------------------------|---------------------|
| P26 | Community development promoting social inclusion; health improvement; health and well being capacity building; regeneration projects; and cross-border initiatives | 8 years after closure of the project. | | Determine on Review |
| | European partnerships, | See GMGR Section J43 | | |

Court Proceedings – Children not looked after or on the Child Protection Register

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|-----------------------------------|---------------------|
| P27 | Case records related to Children and Young People subject to public and private law applications and/or orders, e.g. Article 4/Article 56 reports to the court; Article 8 Orders, e.g. contact orders and residence orders; Article 50 supervision orders; and 'Wards of Court' (Article 173), etc. | 20 years from closure or 15 years after the child's death. | | Determine on Review |

Foster Care Records

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|--|--------------|
| P28 | Applicant - Records related to inquiries which do not proceed beyond initial information and counselling stages. | 40 years after last contact. | | Destroy |
| P29 | Applicant - Approved suitable: Records, which include applications; case records/notes; assessments; support/counselling; specified health and health related information; information received from 3rd parties; reviews; case summaries; any report, recommendation or decision; placement and post placement work; contact records with foster families, e.g. "foster care diaries", etc; and the matters set out in Regulation 13 of the Foster Placement (Children) Regulations (NI) 1996 | For at least 10 years from the date on which his approval is terminated, or until his death, if earlier. | The Foster Placement (Children) Regulations (NI) 1996 Reg. 14(1) | Destroy |

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|-----------------------------------|---------------------|
| P30 | Applicant - Not approved suitable/Uncompleted or Withdrawn: Records, which include applications; case records/notes; assessments; support/counselling; specified health and health related information; information received from 3rd parties; reviews; case summaries; contact records; any report, recommendation or decision, etc. | 40 years from date of decision. | | Destroy |
| P31 | Records related to Private Foster Carers and children who are privately fostered. | 10 years after closure of the case or until the death of the private foster carer, if earlier. | | Determine on Review |
| P32 | Panel records, minutes and papers. | 40 years from the date the record is created. | | Transfer to PRONI |

Guardian Ad Litem Records

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|---|-----------------------------------|-------------------|
| P33 | Records in specified proceedings under the Children (NI) Order 1995 | 75 years from date of birth or if the child dies before age 18 then retain for 15 years from his/her death. | | Transfer to PRONI |
| P34 | Records in proceedings under the Adoption (NI) Order 1989 | 75 years from date of final court decision (whether freeing/adoption order granted or not). | | Transfer to PRONI |
| P35 | Case Trial Bundles | Records to be destroyed at the conclusion of the court case | | Destroy |

Looked after Children & Leaving and After Care

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|---|--|---|--------------------------|
| P36 | <p>Children who are placed (e.g. in foster care, a children's home, with their own families or otherwise accommodated) - Case records (from referral through to closure), including referrals; assessments; social work contacts; case conferences and reviews; 3rd party communications and reports; legal documentation; correspondence; case-specific supervision; and case summaries, including closure summaries, etc; and those matters identified in Reg. 8 of the Arrangements for Placement of Children (General) Regulations (NI) 1996.</p> | <p>75 years from 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 beginning with the date of his/her death.</p> | <p>The Arrangements for Placement of Children (General) Regulations (NI) 1996 Reg. 9(1)</p> | <p>Transfer to PRONI</p> |
| P37 | <p>Independent Visitors - Records related to the recruitment, selection, training and support and review and termination of Independent Visitors.</p> | <p>25 years after termination of role as an Independent Visitor.</p> | | <p>Destroy</p> |
| P38 | <p>Children and young people making the transition to independent living - records relating to assessments, pathway plans and their review.</p> | <p>Until the 75th anniversary of the date of birth of the child or young person to whom they relate, or if the child dies before the age of 18, for a period of 15 years beginning with and including the date of his death.</p> | <p>The Children (Leaving Care) Regulations (Northern Ireland) 2005 Reg. 9(1)</p> | <p>Transfer to PRONI</p> |

Miscellaneous

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|-------------------------------------|-----------------------------------|--------------|
| P39 | Electronic Client Clinical Social Care Records Systems (including the Audit Trails) | See G 41 | | |
| P40 | Notifications from other Trusts/Authorities about missing/found persons - person unknown to the Trust or Service. | 3 years after notification received | | Destroy |
| P41 | "One-Off records", e.g. straightforward requests for advice, initial information and contact, financial assistance, benefit enquiries, telephone calls, housing enquiries, checks on behalf of other Trusts/ Social Services organisations, inappropriate/re-directed referrals requiring no further action. | 3 years after closure/last contact | | Destroy |

Practice Learning- Students

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|-----------------------------------|--------------|
| P42 | <p>Student Information and social work training - records related to student's practice learning opportunity, including non case-specific supervision, notes of meetings, mentoring, learning, tutoring, etc.</p> <p>Case specific supervision should be placed in the client's case file.</p> | 10 years after completion of practice learning opportunity | | Destroy |

Staff Supervision Non Case-Specific

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|-----------------------------------|--------------|
| P43 | Staff non case-specific supervision records, e.g. discussion and decision-making with regard to management (competent and accountable performance); professional development; support; and engagement of the individual with the organisation. | Retain as per L2, noting that records relating to the last five years of service should be retained until age 72 | | Destroy |

Q. Work Area - Statistics

| Ref | Record Type | Minimum Retention Period | Relevant Legislation / Derivation | Final Action |
|-----|--|--|-----------------------------------|------------------------------|
| Q1 | Aggregate Statistics (including Korner returns), regional annual statistical returns required by the Department, payment activity data | 3 years from submission to Department. To be retained for 6 years by the Department | | Destroy |
| | Administrative datasets, survey datasets <ol style="list-style-type: none"> 1. Administrative datasets include patient/client data extracted via the data warehouse or from Trust based systems via direct data access agreements. 2. Survey data will include data either collected directly or commissioned by the Department along with definitions, questionnaires and other survey resources 3. Statistical modelling datasets and technical reports derived from these datasets. | 30 years | | PRONI to determine on Review |
| | Data Input Forms (where the data/information has been input to a computer system). | 2 years | | Destroy |
| Q2 | Laboratory records other than those in GMGR Section K. | 8 years | | Destroy |

