NSS Record Retention Schedules



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DOCUMENT TITLE	DOCUMENT FILE PATH / URL
Public Records (Scotland) Act 2011	Public Records (Scotland) Act 2011
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Freedom of Information (Scotland) Act 2002	Freedom of Information (Scotland) Act 2002
Freedom of Information (Scotland) Act 2002 (Section 61): Code of Practice as to the Keeping, Management and Destruction of Records	Freedom of Information (Scotland) Act 2002 (Section 61)
Environmental Information (Scotland) Regulations 2004	The Environmental Information (Scotland) Regulations 2004
NSS Document Storage, Retention & Disposal Policy	Document Storage and Retention Policy V08.2 (Final) Signed.pdf
NSS Data Cleansing Guidelines	NSS Data Cleansing Guidelines V2.0 (Final).pdf
NSS Document Disposal Register	NSS Document Disposal Register Template.docx
NSS Document Version Control and Naming Conventions	Version Control & Naming Conventions V04.0 (Final.pdf
NSS Directorate Records Management Leads	NSS Corporate and Directorate IS&G Leads.docx
Transferring Records of Enduring Value to The National Records of Scotland for Permanent Preservation	Transferring Records of Enduring Value to National Records of Scotland for Permanent Preservation

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1 INTRODUCTION

1.1 Records are vital assets of an organisation, and therefore it is essential that effective records management systems and practices are implemented across NHS National Services Scotland (NSS).

1.2 Effective records management supports operational efficiency and delivery of services by reducing the time taken to identify and locate information, minimising duplication of records and confusion over version control, and offering significant savings in physical and digital storage space. It also supports better decision making and reduction in error when staff are accessing up to date, accurate and relevant information.

1.3 High quality information underpins the delivery of first-class evidence-based care, accountability, governance, and many other key service deliverables. Information has most value when it is accurate, up to date and easily accessible when it is needed. Effective records management ensures that information is properly managed and is available whenever and wherever there is a justified need for information, and in whatever media it is held to:

- support the delivery of integrated health and social care.
- support day to day business which underpins the delivery of care.
- support evidence-based clinical and social care practice.
- support sound administrative and managerial decision making, as part of the knowledge base for health and social care services.
- meet legal requirements, including requests from patients/services users and customers or other individuals made through provisions of legislations.
- assist clinical and business audits.
- support improvements in health and social care effectiveness through research.
- support archival functions by taking account of the historical importance of material and the needs of future research.
- support patient/service user choice and control over treatment and services designed around them.
- support patient/service user safety and safeguarding.
- support accountability and transparency in the provision and management of services.

1.4 Corporate and health records are a valuable corporate asset that, by their retention and re-use as evidence of decision-making processes and business activity, can improve the efficiency, effectiveness, and governance of an organisation. In addition, the organisation benefits from reduced risk from legal or regulatory challenges by finding and producing the relevant evidence contained in the records within an appropriate timescale.

1.5 Health records consist of information and data relating to the physical or mental health or condition of an individual which have been made by or on behalf of a health professional in connection with the care of that individual.

1.6 The purpose of this procedure is to establish best practice for the retention of records that are considered as corporate or health records within NSS in line with statutory, regulatory and best practice obligations set out under the following legislation/regulation:

- Public Records (Scotland) Act 2011 (PRSA)
- Access to Health Records Act 1990
- Freedom of Information (Scotland) Act 2002 (FOISA)
- Environmental Information (Scotland) Regulations 2004 (EIRs)
- Data Protection Act 2018 (DPA)
- UK General Data Protection Regulation (UK GDPR)
- Inquiries Act 2005
- Scottish Government Records Management Code of Practice for Health & social Care
- Network and Information System Regulations 2018/Scottish Public Sector Cyber Resilience Framework

1.7 The retention schedules in this procedural document are structured to reflect both the corporate and health record types held across NSS.

2 HEALTH & SAFETY

2.1 Please follow the NSS Display Screen Equipment (DSE) procedure and accompanying guides when working with digital records which are also available from HR Connect.

2.2 Staff should follow all manual handling procedures when lifting and moving files, folders or boxes of paper records.

3 STAFF

3.1 All staff must follow the NSS Record Retention Schedules when reviewing retention reached records for destruction or permanent preservation.

3.2 Failure to follow this guidance document may result in adverse legislative or regulatory action.

4 SCOPE

4.1 This document applies to data, information, and records, in any format or stage of processing in the delivery of health care functions and associated supporting business services. This includes those handled by third parties on behalf of NSS.

4.2 Formats include, but are not limited to:

- Paper
- Digital
- Photographs/medical imaging
- Microform (microfiche/microfilm)

- Email
- Scanned images
- Audio/video recordings
- Instant messaging/SMS
- Social media posts
- Website content (intranet/internet)

4.3 This document also covers the retention of human derived material, in the form of samples, specimens, slides, dental moulds, and any data, information or records associated with them.

5 RECORD RETENTION SCHEDULES

5.1 A record retention schedule sets out the recommended lengths of time that various records created within the organisations should be retained either due to their on-going business value or as a result of statutory/regulatory requirement.

5.2 Some classes of record must be permanently preserved and the advice of the NSS Corporate Records & FOI Organisational Lead, The National Records of Scotland or the Scottish Government Digital Health & Care Directorate regarding the designated permanent place of deposit should be sought.

5.3 It also provides guidance on dealing with public records which have an on-going research or historical value and should be selected for permanent preservation and transferred to the National Records of Scotland, who are out designated permanent place of deposit. This is a requirement under Part 1 Section 1(2)(b)(iii) of the PRSA and Element 7 of the Keeper of the Record of Scotland ("The Keeper") Model Records Management Plan.

5.4 The implementation of a retention schedule is a requirement under Element 5 "Retention Schedule", of The Keeper's Model Records Management Plan. It also supports principle 5 of data protection legislation.

5.5 Schedules should cover all record types that need to be retained within the organisation and should be arranged based on series or collection of records and should indicate the appropriate disposal action for the records. Schedules should clearly specify the agreed recommended retention periods for the organisation. Retention schedules do not provide specific guidelines on determining which documents are retained as part of a record.

5.6 The record retention schedules listed within this document (Appendix) provides information and advice about all records created and to be retained by NSS.

5.7 The provisions of FOISA and DPA/UK-GDPR must also be observed. Retention decisions should be made in the light of the need to preserve records that may be in the substantial public interest, or in relation to research purposes. This applies to records whose use cannot be anticipated fully at the present time, but which may be of value to future generations.

5.8 The retention schedules are split up into the corporate functions and activities of NSS and Directorate specific records.

6 DOCUMENT DISPOSAL REGISTER

6.1 When a record has reached its recommended retention period the business must decide if that record is to be permanently retained and sent to the designated place of deposit for permanent preservation or if the record needs to be destroyed.

6.2 In order to send records to the designated place of deposit for permanent preservation refer to the Transferring Records of Enduring Value to National Records of Scotland for Permanent Preservation.

6.3 It is best practice to keep a record detailing the destruction of records that are listed within published retention schedules. Evidence of destruction must be kept indefinitely as it should be possible to provide a log as part of routine records management processes for the destruction of a specified type of record of a specified age range has taken place in accordance with the specified provision of a retention/disposal schedule.

6.4 Evidence of this nature will enable NSS to justify why records specified in a court order or under a Public Inquiry cannot be provided or in defence against a charge under Section 65 of FOISA that records were destroyed in line with published retention schedules in order to prevent their disclosure in response to a request for information.

6.5 NSS have developed a Document Disposal Register that allows the organisation to record the destruction of records. Each Directorate is responsible for completing and retaining its own Register.

6.6 Directorate Document Disposal Registers must be sent to the NSS Corporate Records & FOI Organisational Lead on an annual basis as part of the Records Management Improvement Plan exercise. Directorate registers will be compiled into an overarching NSS register and submitted to regulators as evidence of compliance under statute.

APPENDIX - NSS RECORD RETENTION SCHEDULES

Type	Retention Trigger	Retention Period	Citation / Notes
1. Communications			
Communication Services			
Campaigns (including marketing) – final outputs	Conclusion of campaign.	3 years.	- Relates to campaign workings i.e. adverts/ documents/ artwork. - Consider transfer to the designated place of deposit.
Corporate Identity and Branding	Superseded.	Permanent.	- Consider transfer to the designated place of deposit.
Diaries – non-clinical (paper and electronic)	End of diary year.	2 years.	
Language translation services	End of current year.	3 years.	
Photographs, Video and Film – corporate and publicity	Date of photograph.	10 years (minor). Permanent (significant).	- Consideration should be given to not retaining 'media related' personally identifiable photographs for significant periods of time. - Photographs, video and film which would be considered of historical significance should be kept permanently. - Consider for transfer to the designated place of deposit.
Publications – major publications (guides, books and other publications)	Date published.	Permanent.	- Covers both paper and digital publications. Retain one set of records only – copies to be destroyed once business use concluded. - Consider for transfer to the designated place of deposit.
Conferences			
Conferences / Event Administration	End of Conference.	1 year.	- Includes proceedings, routine paperwork, attendance and presentations. Organisations may wish to retain for longer for its own business purposes. - Significant national conference papers should be considered transfer to the designated place of deposit.
Lectures given by staff at other conferences		Permanent.	
Consultations			
Consultations – responses to external consultations	End of consultation.	3 years.	- Responses to external consultations.
Customer Engagement			
Customer Engagement data	Date of publication.	5 years.	- Including statistics, trends, staff surveys and customer

			satisfaction data.
Media			
Media relations records – final outputs	Date of publication / release date.	5 years.	- Consider for transfer to the designated place of deposit.
Press cuttings	Date of publication.	Minor - 5 years. Significant – Permanent.	- Press cuttings which would be considered of significance would be considered for transfer to the designated place of deposit.. If utilise a commercial electronic cuttings service, this record type will not need to be retained.
Press release	Release date.	6 years.	- Press releases may form a significant part of the public record of an organisation which may need to be retained. - Consider for transfer to the designated place of deposit.
Internal communications (significant).	Release date.	6 years	- This refers to information circulated to all staff which is deemed by the author as significant. This does not cover all internal emails. Retention should be by the author / sender.
Press conference reports		3 years.	
Correspondence with branches of the media		7 years.	
Image Library			
Photographs		1 year.	- Consider transfer to the designated place of deposit (Corporate and publicity photographs, those not used for patient care purposes).
Web Services			
Board Website(s), intranet, social media	Date of creation.	6 years.	- Consider for web-archiving (for example the web-archiving service provided by The National Records of Scotland).

Record Type	Retention Trigger	Retention Period	Citation / Notes
2. Corporate Governance			
Adverse Events			
Accident / Incident / Adverse Event Report (including duty of candour (category II and III))	Closure of adverse event review.	10 years – Adult. 19th Birthday – Child.	- Includes final report, action plan and investigation documentation. - It may also include information in relation to the organisational duty of candour where this process has been triggered. - Prescription and Limitation (Scotland) Act 1973. - Review and if no longer needed destroy. - See for incidents concerning Control of Substances Hazardous to Health Regulation (COSHH).
Accident / Incident / Significant / Screening Adverse Event Report (including duty of candour (category I)) (Adult & Child)	Closure of adverse event review.	Permanent.	- Includes final report, action plan and investigation documentation. - It may also include information in relation to the organisational duty of candour where this process has been triggered. - Given the nature of screening incidents and the potential long time periods until consequences are known retention should be permanent. - Consider for transfer to the designated place of deposit.
Board & Formal Decision Making			
Board and Sub-Committees Meetings minutes and papers	Date of creation.	Permanent.	- Main committees and sub-committees of NHS Boards and Special Health Boards and other meetings of significance for legal, administrative or historical reasons. - Consider for transfer to the designated place of deposit.
Board Meetings (closed sessions)	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Board Arrangements	Date of creation.	Permanent.	- Documents describing terms of foundation / establishment and winding-up. - Consider for transfer to the designated place of deposit.
Board Arrangements legally administered by NHS organisations – other documents	End of financial year.	6 years.	
Board History or their predecessor organisations	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Committees / Groups / Sub-	Date of creation.	6 years.	- Includes minor meetings/projects and departmental business

Committees / Department Meetings not listed in the scheme of delegation to the Board			meetings. - Non board & board sub-committees (those not listed in the scheme of delegation). Covers departmental / team business meetings. - Covers all papers, not just minutes and agenda.
Board members register of interests	Register entry date.	5 years after member ceases to be a member of a public body.	
Chief Executive Record	Date of creation.	20 years.	- Review based on content. Emails and correspondence containing significant information / decisions should be retained and transferred to an appropriate archival facility if they are considered of archival interest. - Ephemeral communication saying “thanks” etc which should not be retained for 20 years.
History of Boards or their predecessor organisations	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
History of hospitals	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Hospital service file	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
NHS Circulars – Master Set	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Register of Interests	Register date entry.	6 years.	
Register of Seals	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Clinical			
Admission, transfer and treatment of patients – policy file	Superseded.	Permanent.	- Consider for transfer to the designated place of deposit.
Clinical Audit	Completion of audit.	5 years.	
Clinical Protocol	Superseded.	25 years.	
Clinical Quality Improvement Project File	End of year which it relates to.	10 years.	
CHI Advisory Group			
Applications		Permanent.	- Committee Services Manager.
Minutes		Permanent.	- Committee Services Manager.
Meeting Papers		Permanent.	- Committee Services Manager.
Receipts and copies of claim forms in support of expense claims		6 years after the financial year to which they relate.	- Committee Services Manager.
Data sharing Agreements/		5 years after data	- Committee Services Manager.

Memoranda of Understanding		sharing ceases/ expiry date.	
Complaints			
Quality Assurance – Complaints		5 years.	
Quality Assurance – Customer Satisfaction Results		3 years.	
Complaints Register		10 years.	
Case Records – correspondence / complaints forms		10 years.	
Minutes of Complaints Committees / Independent Review Panels		10 years.	
Complaints: Statistical reports / trend surveys		5 years.	
Non-NSS Complaints		1 year (but destroyed on a rolling quarterly basis).	
Complaint case file without litigation (adult)	Closure of complaint.	7 years.	- The complaint is not closed until all subsequent process have ceased. The file must not be kept on the patient file. A separate file must always be maintained.
Complaint case file without litigation child)	Closure of complaint.	Until child is 19 or 7 years after closure of complaint, whichever is later.	- The complaint is not closed until all subsequent process have ceased. The file must not be kept on the patient file. A separate file must always be maintained.
Copyright / Intellectual Property			
Copyright / Patent / trademarks / intellectual property	Lifetime of patent or licence.	Lifetime of patent or 6 years from end of licence/action.	- Records pertaining to the property of the NHS Board or a staff member employed by them at the point of creating the property.
Corporate Policy			
Policy, Guidance and Operating Procedure	Superseded.	Permanent.	- This would cover all Board policies, regardless of the originating department. - Consider for transfer to the designated place of deposit. - Including strategies, frameworks and action plans.
Admission, transfer and treatment of patients – policy files	Superseded.	Permanent.	- Consider for transfer to the designated place of deposit.
Information Governance			
Freedom of Information (FOI) / Environmental Information	End of calendar year.	3 years.	- Where redactions have been made it is important to keep a copy of the redacted disclosed documents or if that is not practical to keep a summary of the redactions.

Regulations (EIR) requests and response files			- For regulatory and operational reasons, CLO will retain FOI and EIR requests and responses for 6 years.
Statistical data regarding the number of requests answered and their outcomes.		Keep as required for reporting requirements. Suggested retention length is 10 years.	
Freedom of Information (FOI) / Environmental Information Regulation (EIR) requests subject to an adverse event		10 years (category II and III) Permanent (category I).	
Freedom of Information (FOI) / Environmental Information Regulations (EIR) requests appeal file	Closure of appeal.	6 years.	- This file should include the original request file.
FOI Publication Schemes	Superseded.	5 years.	
Data Breach Investigation Case Files	Closure of investigation.	5 years.	- If the files are part of an adverse event record, they should be retained based on their category rating (I, II or III).
Individual Data Protection Subject Access Requests - Proof of identity documentation	After date request completed.	6 months.	
Data Protection Privacy Notices	Superseded.	5 years.	
Data Protection Impact Assessments	End of lifetime of the system / process / procedure.	5 years.	
Data Sharing Agreements	Date sharing ceases.	5 years.	
Data Processing Agreement	End of contract.	5 years.	
Data Subject Access Request	Closure of request.	3 years.	- Includes disclosure correspondence. - Where redactions have been made it is important to keep a copy of the redacted disclosed documents or if that is not practical to keep a summary of the redactions. - For regulatory and operational reasons, CLO will retain Data Subject Access Requests and responses for 6 years.
Subject Access Request Appeal	Closure of appeal.	6 years.	- This file should include the original request file.
Record Destruction Register / Disposal Certificate	Creation of register entry / certificate.	Permanent.	- UK National Archives guidance on Information Management Records. - Records of destruction of corporate and health records

			contained in this retention schedule, including digital records, Metadata, destruction stubs, records of clinical information held on destroyed physical media. - Consider for transfer to the designated place of deposit.
Records Management Plan	Superseded.	5 years.	- This should include the plan, supporting evidence and progress update review reports.
Record Retention schedules	Superseded.	Permanent.	- UK National Archives guidance on Information Management Records. - Consider for transfer to the designated place of deposit.
Record of Processing Activity	Date of Creation.	Permanent.	
Databases – records handling system		Permanent.	- (Retain to demonstrate implementation of established practice and provide audit trail, see also Indexes).
Indexes – file and document lists marked for permanent preservation		Permanent.	
Indexes – file and document lists not marked for permanent preservation		Permanent.	
Information Asset Register (IAR)	Date of creation.	Permanent.	
Legal Support			
Board arrangements legally administered by NHS organisations – documents describing terms of foundation / establishment and winding-up	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Board arrangements legally administered by NHS organisations – other documents	End of financial year.	6 years.	
Litigation file/record (adult)	Date case settled or dropped.	10 years.	
Litigation dossiers – complaints including accident reports	(Where a legal action has commenced see Legal Actions).	10 years.	
Litigation file/record (child)	Date case settled or dropped.	Until child is 19 or 10 years after case settled or dropped, whichever is later.	- The Prescription and Limitation (Scotland) Act 1973 s17(3) and Aged of Legal Capacity (Scotland) Act 1991 s1 provide that in the case of injury suffered by a child time does not begin to run until she/he attains legal capacity which is 16. 16 years + 3 years limitation.
Legal Case Files (CLO)	Closure of file.	10 years.	- File is reviewed before being destroyed.

			- Covers Property and Employment legal advice files. Contracts files are 6 years after expiry of the contract or 10 years after closer of file whichever is the latest.
Legal Enquiry (General query/ advice)	Closure of file	5 years.	The Law Society of Scotland.
Medico-Legal Request	Date of production of copy or provision of access.	6 years.	- Relates to legal requests for gaining access to or a copy of health records via: • Court Requests • Procurator Fiscal requests • Solicitor requests under mandate
Debt Recovery Files	Closure of file.	5 years.	File is reviewed before destroyed.
Legal Library			
Licenses agreement with Publishers		Permanent.	
Circulars		Permanent.	
Professional & Administration Services – National Committee Services			
Central Disciplinary Unit			
Case Files		Sent to the Health Board after case closed.	
Receipts and copies of claim forms in support of expenses claims		2 years after the financial year to which they relate.	
Minutes of meetings with Health Board discipline leads		5 years.	
CDU SLAs		6 years after the end of the agreement.	
Honorary Health Board Contracts		Do not destroy.	
National Appeal Panel for Entry to Pharmaceutical Lists			
Case Files		1 years from date of Appeal Hearing.	
Panel Decisions and Hearing Records		Permanent.	
Panel Members receipts and copies of claim forms in support of expenses claims		2 years after the financial year to which they relate.	
Media Correspondence		7 years.	
Copies of Chairpersons' expenses and receipts sent to the Scottish Government for payment		1 year.	

Agency Grievance & Appeals Procedure			
Case Files		1 year after employee has left the Agency except where a claim is taken to Employment Tribunal, in which case 1 year after the final decision.	
Scottish Advisory Committee on Distinction Awards			
Since 2009 all CVs, citations for awards and reviews have been submitted electronically and saved electronically in SACDA Online system. The CVs are "living documents" which are updated each time the consultant applies for an award or is subject to review of their award.			
Copies of documents produced for Members		Destroy immediately after relevant meeting.	
All SACDA (or earlier Scottish Sub-committee of ACDA) and sub-committee minutes which include reference to A+, A and B award decisions		Permanent.	
Scoring Results		Destroy individual scoresheets from committee members at end of relevant awards around. Summary results to be kept indefinitely.	
Annual Report		Permanent.	
SACDA SLA		6 years after end of agreement.	
Receipts in support of expenses claims		2 years after the financial year to which they relate.	

Central Funding		Permanent.	
Media Correspondence		7 years.	
Committee member's declaration of interests		5 years after member ceases to be a member of the Committee.	
NHS National Services Scotland Consultant's Discretionary Points			
Original CVs/Citations for successful candidates		6 years after they retire or otherwise leave the NHS.	
Original CVs, citations etc or unsuccessful candidates		3 years from receipt.	
Copies of documents produced for Members		Destroy immediately after relevant meeting.	
All minutes of meetings		Permanent	
NHS Scotland Discretionary Points			
All NHS Board/Divisions return and summary of information		Permanent.	
Scottish Dental Practice Board			
Minutes		5 years and then to Scottish Records Office.	
Annual Report		Permanent.	
SDPB SLA		6 years after end of agreement.	
Receipts in support expenses claims		2 years after the financial year to which they relate.	
SDPB Complaints – case records		10 years.	
Freedom of Information Requests and Correspondence		6 years after date of creation.	
Board Papers – master set		Permanent.	
Data Protection Act Requests and Correspondence		6 years after date of creation.	
Financial Reports, receipts and copies of claim forms in support of expenses claims		2 years after the financial year to which they relate.	

Practitioner Investigations		Current + 6 years from close of investigation.	
Payment Requests – case information and decisions		3 years.	
Regulation Breaches including mis-claims – case information		6 years.	
Projects		6 years after completion.	
Media Correspondence		7 years.	
Scottish Association of Medical Directors			
Minutes of meetings		Permanent.	
Meeting Papers – master set		5 years.	
Finance Records		7 years.	
SAMD SLA		6 years after end of agreement.	
National Evaluation Committee			
Job Descriptions and any associated organisational charts and supporting documents (electronic only)		Most recent version and one preceding version.	
Grading outcome letters		Permanent.	
NEC SLA		6 years after end of agreement.	
NHS Boards Chief Executives' Group / NHS Boards Chairs' Group			
Minutes of meetings		Permanent.	
Meeting Papers – master set		5 years.	
Scottish Executive Nurse Directors / Chief Nursing Office Meetings			
Minutes of meetings		Permanent.	
Meeting Papers		5 years.	
Committee of the Faculty of Public Health in Scotland			
Minutes of meetings		Permanent.	
Meeting Papers – master set		5 years.	
Consultants in Public Health Medicine (Health Protection)			
Minutes of meetings		Permanent.	
Meeting Papers – master set		5 years.	
Programme, Project & Portfolio Management			
Programme Management Documentation – (£250,000 and		Permanent.	

over), including abandoned or deferred programmes			
Programme Management Documentation – (under £250,000), including abandoned or deferred programmes	Completion / abandonment of programme.	6 years.	
Project files (£250,000 and over) Examples include (but not exhaustive): • Project Mandate • Project Brief and Scoping Documentation • Project Initiation Document (PID) • Business Case • Risk and Issue Logs • Project Plans • Project Communication Strategies and communication materials • Project Reports – End Reports, Lessons Learned, Progress Reports, BAU Handover Documents • Project Steering Board Documentation • Project Team Documentation • Privacy Impact Assessments (PIAs)		Permanent (Including abandoned or deferred projects).	
Project files (under £250,000) Examples include (but not exhaustive): • Project Mandate • Project Brief and Scoping Documentation	After completion / abandonment of project.	6 years.	

• Project Initiation Document (PID) • Business Case • Risk and Issue Logs • Project Plans • Project Communication Strategies and communication materials • Project Reports – End Reports, Lessons Learned, Progress Reports, BAU Handover Documents • Project Steering Board Documentation • Project Team Documentation • Privacy Impact Assessments			
Public Inquiry			
Inquiry report (the final published version, draft / preliminary report)	When included as being relevant to Inquiry.	Permanent.	- From the National Archives guidance on Retention schedule for the records of inquiries.
Correspondence (format blind), redacted and unredacted, between the inquiry team and members of the general public relative's other government bodies	When included as being relevant to Inquiry.	Permanent.	- From the National Archives guidance on Retention schedule for the records of inquiries.
Legal opinion and related correspondence	When included as being relevant to Inquiry.	Permanent.	- From the National Archives guidance on Retention schedule for the records of inquiries.
Witness statements and expert reports, whether or not they were signed. Both redacted and unredacted	When included as being relevant to Inquiry.	Permanent.	- From the National Archives guidance on Retention schedule for the records of inquiries.
Restriction notices and rulings on such notices which were made public and given under section 21 of the Inquiry Act 2005	When included as being relevant to Inquiry.	Permanent.	- From the National Archives guidance on Retention schedule for the records of inquiries.

All documents provided to the inquiry which were relevant to the terms of reference (evidence used by the inquiry) from the general public and relatives and government bodies (format blind) redacted and un-redacted	When included as being relevant to Inquiry.	Permanent.	- From the National Archives guidance on Retention schedule for the records of inquiries.
Establishment documentation including: • terms of reference protocols created by the inquiry to regulate its conduct policies concerning the conduct of the inquiry advice given by counsel to the inquiry in relation to its conduct, • certificates of full disclosure by those who provided documents to the inquiry, • work plans • internal procedures • criteria used for deciding relevant and irrelevant material presented to the inquiry from all sources • overall costings copyright and licensing • notebooks of inquiry team (format blind)	When included as being relevant to Inquiry.	Permanent.	- From the National Archives guidance on Retention schedule for the records of inquiries.
Litigation records used in Public Inquiry proceedings	When included as being relevant to Inquiry.	Permanent.	- From the National Archives guidance on Retention schedule for the records of inquiries.
• All documents and correspondence relevant to an inquiry (format blind), redacted and	When included as being relevant to Inquiry.	Permanent.	- From the National Archives guidance on Retention schedule for the records of inquiries.

unredacted, between the SNBTS and members of the general public relatives • Government bodies • The Inquiry Team • Legal opinion and related correspondence • Witness statements and expert reports, whether or not they were signed. Both redacted and unredacted • Restriction notices and rulings on such notices which were made public and given under section 21 of the Inquiry Act 2005			
Quality & Performance			
Audit Records (non-clinical)	End of statutory audit.	3 years.	- Original documents, management letters, reports. - A longer period may be required for investigate purposes.
Audit Reports – (including Management letters, VFM reports and system/final accounts memorandum)	After formal clearance by statutory auditor.	3 years.	
Inquires involving fraud / other irregularities		10 years.	
Internal Audit Reports (non-clinical)	End of statutory audit.	3 years.	
Non-Clinical quality assurance records, including 'quality improvement tools/records'	End of year to which the assurance relates.	12 years.	
Quality Assurance – Internal Audit Reports		3 years.	
Quality Assurance – Management Review minutes		3 years.	
Quality Assurance – corrective action / preventive action		3 years.	

Quality Assurance – Continual Improvement	Completion of project.	2 years after.	
Quality Assurance Record (non-clinical)	End of year which relates to it.	10 years.	
Quality Improvement Record (non-clinical)	End of year which relates to it.	10 years.	
Quality Management System & Accreditation	Date of accreditation.	8 years.	- Includes for example QMS within Decontamination, Pharmacy, Laboratories. - ISO 13485, ISO 9001
Corporate Policies / SG Circulars	After end of agreement / project to which they refer.	6 years.	
SNBTS Quality Assurance Records		30 years.	
Performance Assessment Framework Reports		Permanent.	
Minutes of Performance Accountability Reviews with Scottish Executive		Permanent.	
Minutes of Performance Reviews NSS HQ / SBUs	After the end of the period to which they refer.	6 years.	
Research & Development			
Research and development findings by Board Staff (scientific, technological and medical)	Date of creation.	Consider findings and reports for archival preservation.	- Supporting records should be retained in line with the appropriate clinical, pharmaceutical, laboratory or other research standards, as set out by funding and professional bodies. - Consider transfer to the designated place of deposit.
Research and development (scientific, technological and medical)	Consider for permanent preservation.		
Risk Management & Insurance			
Certificate of Insurance – employers liability insurance (CNORIS)	Date all obligations and entitlements concluded.	Permanent.	- Prescription and Limitations (Scotland) Act 1973 and 1984. - Consider transfer to the designated place of deposit.
Insurance policy documentation / certificates of insurance	Date all obligations and entitlements concluded.	Permanent.	- Employer's liability insurance (CNORIS). - Prescription and Limitations (Scotland) Act 1973 and 1984. - Consider transfer to the designated place of deposit.

Risk Register	Date risk removed from register.	5 years.	- Consider for transfer to the designated place of deposit.
Strategic Planning			
Business Continuity Plan	Date superseded.	5 years.	
Corporate and Directorate Business Plans	Superseded.	10 years.	
Service Level Agreements	End of agreement.	6 years.	
Strategic Plans	Superseded.	Permanent.	- Includes: Corporate Plans, Area Health Plans, Area Operational Plans, Local Development Plans, Mobilisation and Remobilisation Plan, Winter Plans. - Consider for transfer to the designated place of deposit.
Service Planning			
Activity monitoring reports	Date agreement ended.	6 years.	
Area health plans	Date superseded.	Permanent.	- Consider transfer to the designated place of deposit.
Databases - demographic and epidemiological based on data supplied by NHS National Services Scotland	Date superseded.	20 years.	
Databases – demographic and epidemiological based on survey data	End of survey.	20 years.	- May be retained indefinitely if data quality and potential for future reuse justifies cost of migration / regeneration to new formats and platforms
Diaries - Office	After completion.	2 years.	
Nursing homes pre 1 April 2002: registration documents and building plans	Date of creation.	Permanent.	- The regulation of care services was taken over by the Care Commission on 1 April 2002. - Consider transfer to the designated place of deposit.
Patient activity data	Date superseded.	3 years.	
Receipts for registered and recorded delivery mail		2 years.	
Service development reports	End of financial year.	6 years.	
Service Planning (projects under £400,000)	Completion / abandonment of project.	6 years.	- For property / building projects – see Section 3 Estates and Facilities.
Service Planning (projects over £400,000)	Completion / abandonment of project.	Permanent.	- For property / building projects – see Section 3 Estates and Facilities.

Summary bed statistics	Date of creation.	Permanent.	- Consider transfer to the designated place of deposit.
Waiting list monitoring reports	Date superseded.	6 years.	
Winter business plans	Date superseded.	6 years.	
Whistleblowing			
Whistleblowing record	Closure of investigation.	7 years.	- The case is not closed until all subsequent processes have ceased. - Where required, all evidence is submitted to the Independent National Whistleblowing Officer. - Review and investigation of Whistleblowing Concerns, in line with National Whistleblowing Standards.

Record Type	Retention Trigger	Retention Period	Citation / Notes
3. Estates & Facilities			
Accommodation Services			
Building Security Record	Date of creation.	Permanent.	- Papers relating to security management files.
Catering - Dietary requirements	Date of creation.	2 years.	- Including allergies, cultural and religious requirements, special diets (documentation specific to patients, may also be held as part of patient record).
Catering – Food Safety and Food Hygiene Record	Date of creation.	3 years.	- Record that task has been completed. - Includes all temperature sheets.
ID Request Form	Date of creation.	3 months.	
Receipts for registered and recorded delivery mail		2 years.	
Laundry Lists		See *'Accounts – minor' under 'Financial Records' below.*	
Room Booking Record	Date of Check Out.	1 year.	- Includes meeting room booking, desk bookings and overnight accommodation booking.
Security Tag for new equipment	Lifetime of equipment.	2 years.	
Surveillance Investigation Record	Closure of investigation.	5 years.	
Visitors Books		3 years (unless considered to be of historical interest).	- Consider for transfer to the designated place of deposit.
Visitor Information	Date of visit.	2 years.	- Covers sign in / out books. - Required for Fire Regulations.
Asbestos			
Asbestos Inspections		Permanent	
Asbestos	Completion of monitoring or test.	40 years.	- Includes: Asbestos Register, Equipment Monitoring, Testing and Record of Maintenance. - Where there are ongoing investigations and claims, the Health Board should retain the information until these are concluded. - Control of Asbestos at Work Regulations 2012.
Maintenance & Equipment			
Cleaning Schedules (clinical areas)	End of financial year.	3 years.	- Wards, A&E Trolleys, Rapid Response, Renal Chairs, Ward & Sanitary Areas. Held as evidence during audit / inspection.
Cleaning Schedules (non-clinical	Date of creation.	3 months.	- Additional Touch Surfaces, Public Toilets, Rapid Response,

areas)			CSU, DSR, Windows. Held as evidence during audit / inspection.
Equipment Inventories (non-current) of items having an operational lifetime of less than 5 years	End of financial year.	2 years.	
Equipment monitoring / testing and maintenance work	End of lifetime of installation.	2 years.	- Monitoring, Testing, Inventory, Operating Procedure / Policy. - Manual - lifetime of equipment / machinery the manual refers to. - Should be retained permanently if there is any measurable risk of a liability. - Consider transfer to the designated place of deposit.
Flushing Record (Legionella and other pathogens)	End of financial year.	5 years.	- Flushing of all outlets in unoccupied areas and little-used outlets and high risk areas including NNU, ITU, Oncology and Renal Dialysis Unit. - Legionnaire' disease: the control of legionella bacteria in water systems. Approved Code of Practice L8. 4th ed. 2013.
Gritting Log	End of financial year.	2 years.	
Inventories (non-current) of items having an operational lifetime of less than 5 years	End of financial year.	2 years.	
Maintenance request record	End of financial year.	2 years.	- Covers paper logbooks and digital systems / databases.
Equipment Manuals – operating policy and procedures	End of lifetime of equipment.	2 years.	
Equipment – decontamination records	Date of decontamination.	25 years.	
Pest Control Record	End of contract.	5 years.	- Records of call outs and activity, evidence during audit / inspection / investigation.
Health & Safety			
Accidents and incident reporting – reporting accidents to adults	Date of entry / Accident book – date of last entry.	10 years.	- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013. - Prescription and Limitation (Scotland) Act 1973.
Accidents and incident reporting – reporting accidents to children	Date of birth of child.	25 years.	
Control of Substances Hazardous to Health Regulation (COSHH) record	Date of last action.	40 years.	- Includes audit form, COSHH Documentation, Safety Risk Data, Risk Assessment, Control Measures. - Control of Substances Hazardous to Health Regulations 2002.

Reporting of Injuries, Disease and Dangerous Occurrences Regulations 2013 (RIDDOR) including Accident Register - Adult	Closure of incident / date of last entry on register.	10 years.	- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013.
Reporting of Injuries, Disease and Dangerous Occurrences Regulations 2013 (RIDDOR) including Accident Register - Child	Date of birth of child.	19 years.	- Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013.
Safety Action Bulletins		Permanent.	
Health and Safety Committee Proceedings		10 years minimum.	
Health & Safety record	Date of last action.	10 years.	- For documentation not related to COSHH. - Includes audit forms, safety risk data sheets, risk assessments and control measures.
National Safety Alert	Date of creation.	Permanent.	- Covers Drug Alerts, Estates & Facilities Alerts, Safety Action Notices etc. - Includes Alert and record of department response.
Maintenance of Property			
Maintenance contracts		See *'Property – Cleaning and Maintenance'.*	
Maintenance manuals		Destroy when plan no longer in use.	
Maintenance request book		2 years after financial year referred to.	
Property & Land Management			
Asset Register		6 years after end of period to which it refers.	
Agreements with consultants and contractors	After they cease to be effective.	6 years.	
Buildings – papers relating to occupation, plans and records of major building works	Data of creation.	Lifetime of the building or disposal of asset plus six years.	- Building plans and records of work are potentially of historical interest. Consider for transfer to the designated place of deposit.
Buildings and Engineering Records		2 years after they cease to be effective.	

Building Record	Lifetime of the building or disposal of asset.	6 years.	- Papers relating to occupation, plans and records of major building works. - Building plans and records of work are potentially of historical interest. - Consider for transfer to the designated place of deposit.
Building Project File (£400,000 and over)	Date of creation.	Permanent.	- Including abandoned or deferred projects. - Consider for transfer to the designated place of deposit.
Building Project Files (under £400,000)	Completion / abandonment of project.	6 years.	
Capital charges data	End of 5 year evaluation term.	3 years.	
Carbon Reduction Commitment (CRC) Report		6 years.	
CCTV	30 days.	See ICO Code of Practice.	- The length of the retention must be determined by the purposes for which the CCTV has been deployed. The recorded images will only be retained long enough for any incident to come to light (e.g. for a theft to be noticed) and the incident to be investigated.
ICO Check Lists for CCTV		3 years from review date.	
Surveillance Investigation Record	Closure of investigation.	5 years.	
Surveillance Record		See ICO Code of Practice.	- Includes CCTV, body worn cameras, vehicle dash cams. The length of the retention must be determined by the purposes for which the video Surveillance has been deployed. The recorded images will only be retained long enough for any incident to come to light (e.g. for a theft to be noticed) and the incident to be investigated.
Contaminated Land	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Conversion records for historic buildings		25 years after issue.	
Property Decommissioning Record of NHS Buildings	Date of decommissioning of the building or campus.	6 years.	- Evidential record, including clearance checklist and images.
Drawings		2 years after they cease to be effective.	
Engineer's report on boilers, lifts etc		2 years after plant is	

		decommissioned.	
Environmental Information (e.g. Environmental reports)	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Estimates: including supporting calculations and statistics		3 years.	
Green Code	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Indemnity Forms		Permanent.	
Inspection Report		2 years after plant is decommissioned.	
Inventories (non-current) of items having an operational lifetime of less than 5 years		2 years.	
Property – cleaning and maintenance (contracts less than £100,000)		6 years.	
Property Management System		Permanent.	
Property Performance	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Property Strategy	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Property/Estates – Land, Building and Engineering Construction Procurement: Key records including ▪ Final Accounts ▪ Surveys ▪ Site plans ▪ Bills of quantities, PFI/PPP records Town and country planning matters and all formal contract documents, including ▪ Executed agreements ▪ Conditions of contract ▪ Specifications “as built” record drawings and documents on the appointment and conditions of engagement of private		Permanent (Inclusive of major projects abandoned or deferred).	

buildings and engineering consultants			
Property – Terriers (NHS Premises Site Information)		Permanent.	
Custody and transfer of keys record	Date keys returned.	2 years.	
Security Occurrence Books			
Site Maps	Date of creation.	Permanent.	- Duplicate site maps are not covered by the requirement to be retained permanently. - e.g. copies held by CLO. - Consider for transfer to the designated place of deposit.
Site Plans		Permanent.	
Specifications of Work Tendered		6 years.	
Surveys (including land)		2 years after they cease to be effective	
Sustainability records	End of financial year.	6 years.	
Waste Consignment Notes – Controlled wastes such as clinical/healthcare and household/domestic		2 years.	
Waste Consignment Notes – Special/Hazardous/Radioactive Wastes		3 years.	
Waste – Duty of Care Inspection Reports		Permanent, or for life of external contract.	- Consider for transfer to the designated place of deposit.
Property Transactions			
Land purchase and sale	Date contract ended.	Permanent.	- Deeds, leases, maps, surveys, registers etc.
Land purchase and sale – negotiations – completed	Date of creation.	Permanent.	- Dossiers which include maps, surveys, registers etc. - Consider for transfer to the designated place of deposit.
Land purchase and sale negotiations – not completed	Date negotiations concluded or abandoned.	6 years.	
Property – acquisitions dossiers		Permanent.	
Property – disposal dossiers		Permanent.	
Property – purchases		Permanent.	

Property Valuations		6 years after property disposed of.	
Property – Leases		Permanent.	
Title Deeds/Leases/Property Acquisition/Disposal Dossiers		Permanent.	
Property – minor contracts		6 years.	
Tenders (successful)		See **Contracts** above.	
Tenders (unsuccessful)		6 years.	
Property and Land lease Contracts / agreements	After the end of the contract.	6 years.	- Including non-sealed (property) on termination.
Tenders (unsuccessful)	Date contract awarded to successful bidder.	6 years.	
Deeds of title	Date of creation.	Permanent.	- Title deeds are retained on a permanent basis while the property is retained by the NHS but on disposal, the relevant title deeds are required to be transferred to the purchaser. - Consider transfer to the designated place of deposit.
Land, building and engineering construction procurement: key records (including final accounts, surveys, site plans, bills of quantities, PFI/PPP records) Town and country planning matters and all formal contract documents (including executed agreements, conditions of contract, specification, “as built” record drawings and documents on the appointment and conditions of engagement of private buildings and engineering consultants)	Date of creation.	Permanent.	- Inclusive of major projects abandoned or deferred. - Consider transfer to the designated place of deposit.
Land leases, purchase and sale – deeds, maps, surveys, registers etc	Date of creation.	Permanent.	- Consider transfer to the designated place of deposit.
Land purchased and sale – negotiations not completed	Date negotiations concluded or abandoned.	6 years.	
Property acquisition dossiers	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Property contracts	Date contract ended.	6 years.	
Property disposal dossiers	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.

Property management system	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Property purchases and leases	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Property title deeds	Date of ownership of property.	Date of disposal of property.	- Title deeds are retained while the property is under the ownership of the NHS but on disposal, the relevant title deeds are required to be transferred to the purchaser. - Where property is not disposed of but title deeds become of no continuing legal relevance (e.g. the building is demolished but the land is retained by the Boards and used for another purpose). These records should be considered for transfer to the designated place of deposit. - Of note that all documents which are recorded in the Register of Sasines or registered in the Land Register are also held in the permanent records of Registers of Scotland.
Property and Land terrier (NHS premises site information)	Date of creation.	Permanent.	- Consider for transfer to the designated place of deposit.
Specifications for work tendered	After completion of works.	6 years.	
Waste Management			
SEPA Registration, Licences and Consent	Date of receipt.	Permanent.	- Consider for transfer to the designated place of deposit.
Waste Consignment Note – Controlled wastes such as clinical / healthcare and household / domestic	End of financial year.	2 years.	
Waste Consignment Note – Special / Hazardous / Radioactive Wastes	End of financial year.	3 years.	
Duty of Care Inspection Reports	Date of creation.	Permanent, or for life of external contract.	- Consider for transfer to the designated place of deposit.

Record Type	Retention Trigger	Retention Period	Citation / Notes
4. Financial Management			
Accounts & Reporting			
Corporate Planning / Management Accounts			
Accounts –working papers	Completion of statutory audit.	3 years.	- Cost Books, working records, minor records, advice notes.
Financial Audit (external)	Completion of statutory audit.	3 years.	- Records relating to external audits including original documents, management letters, value for money (VFM) reports and system / final accounts memorandum). - A longer period may be required for investigate purposes.
Budgeting – including budget monitoring report	End of financial year.	3 years.	
Financial plans, estimates recovery plans	End of financial year.	6 years.	
Funding data	End of current financial year.	6 years.	
Indemnity Forms	End of financial year after the indemnity has lapsed.	6 years.	
Ledger Balances	End of financial year.	6 years.	
Mortgage document	Date of creation.	Permanent.	- Acquisition, transfer and disposal. - Consider for transfer to the designated place of deposit.
Register of gifts and hospitality	Register entry date.	6 years.	- Gifts received by individual members of staff.
Benefactions	End of financial year.	8 years.	- Endowments, legacies gifts etc. received by the health board. - Consider for transfer to the designated place of deposit.
Bank Statements	After completion of statutory audit.	3 years.	
Cash books / sheet	End of financial year.	6 years.	
Claim for losses record	Date claim settled / resolved.	6 years.	
Creditor payment record	End of financial year.	6 years.	
Debtor’s records	Date debt discharged.	6 years.	- Covers cleared and un-cleared. - Prescription and Limitation (Scotland) Act 1973.

			- CLO Debt Recovery cases is 5 years after closure of file.
Demand Note	End of financial year.	6 years.	
Expense Claim Record	End of financial year.	6 years.	- Includes relocation expenses. - Taxes Management Act 1970. - Keeping VAT Records HMRC Reference Notice 700/21 (October 2013).
GP Loan applications & other related paperwork	Date of application.	Permanent.	
Income and expenditure sheets and journals	End of financial year.	3 years.	
Invoices	End of financial year.	6 years.	- Covers invoices payables (creditors), invoices receivable (debtors) and capital paid invoices.
IR25 declarations & assessments	End of financial year.	6 years.	
Non-exchequer funds records	End of financial year.	6 years.	
Payments to FHS contractors send to NSS by NHS Boards to process on their behalf	End of financial year.		
Receipts	End of financial year.	3 years.	- Includes cheques bearing printed receipts.
Purchasing authorisation limits	Superseded.	1 year.	
Budget Monitoring Statements		5 years after the financial year to which they relate.	
Budgets	Completion of audit.	2 years.	
Finance Board Papers	Completion of audit.	2 years.	
Expenditure Statements		6 years after the financial year to which they relate.	
Expenditure Statements – ad hoc		1 year after the financial year to which they relate.	
Financial Plans		6 years after the financial year to which they relate.	
Funding Data		6 years after the financial year to which they relate.	
Scottish Executive Returns		6 years after the financial year to which they relate.	
Group Accounting			
Accounts – final annual master	End of financial year.	Permanent.	- Consider for transfer to the designated place of deposit.

copies			
Fixed Asset Reports		6 years.	
Property Valuations		Permanent.	
Capital Charges Data	End of financial year.	6 years.	
SFR Returns	End of financial year.	6 years.	
Statutory Accounts		Do not destroy signed accounts.	
VAT Returns	End of financial year.	6 years.	
Annual Accounts – working papers	End of financial year.	6 years.	
Balance Sheet Reconciliations – Fixed Assets	End of financial year.	6 years.	
Balance Sheet Reconciliations – Debtors Creditors Stock	End of financial year.	6 years.	
Fixed Asset Forms (Additions, Disposals & Transfers)	End of financial year.	6 years.	
Construction Industry Scheme Records	End of financial year.	6 years.	
Premature Retirement SPPA Letters and Calculations		Permanent.	
Financial Transactions Management			
Treasury			
Accounts – minor records – including: ▪ Paying-in slips ▪ Cheque counterfoils, cancelled/discharged cheques ▪ Petty cash, expenditure Duplicated receipt books	Completion of audit.	3 years.	
Asset register and lease register	Date of creation.	Permanent.	
Audit report for shared services provided by other NHS Boards	Completion of audit.	3 years.	
Bank Reconciliations	End of financial year.	6 years.	
Bank Statements	End of financial year.	3 years.	
Non Standard Payment Requests	End of financial year.	6 years.	
Income Collection Sheets	End of financial year.	6 years.	

Remittance Advice	End of financial year.	6 years.	
Instructions to Banks	End of financial year.	6 years.	
Government Purchasing Card Records	End of financial year.	6 years.	
Accounts Payable			
Creditor Payment Runs	End of financial year.	3 years.	
Indemnity Forms	End of financial year.	6 years.	
Bank trace file / legal correspondence	End of financial year.	6 years.	
Supplier Invoice / Credit Notes (including Capital)	End of financial year.	6 years.	
Supplier Statements		Most recent statement.	
Correspondence / cheques for Oxygen Concentrator Patients	End of financial year.	3 years.	
SFR 30 Agreements	End of financial year.	6 years.	
Accounts Receivable			
Customer Account Details		Permanent.	
Sales Ledger Reports			
- Aged Debt	End of financial year.	3 years.	
- Audit Trail	End of financial year.	3 years.	
- Balances Due	End of financial year.	3 years.	
Bad Debt Files	End of financial year.	6 years.	
Sales Invoices & Credit Note Requests	End of financial year.	6 years.	
SFR 30 Agreements	End of financial year.	6 years.	
Debit and Credit Adjustments	End of financial year.	3 years.	
Fraud Prevention			
Inquiries involving fraud / other irregularities	Completion of court proceedings / disciplinary process.	6 years.	- Where action is in prospect or has been commenced, consult with legal representatives and NHS Counter Fraud Services and keep in accordance with advice provided. - Taxes Management Act 1970. - Prescription and Limitation (Scotland) Act 1973.
Fraud Reports	End of financial year.	6 years.	- Includes both internal reporting and reporting to Counter Fraud Services.

Annual Report to Counter Fraud Services	End of financial year.	6 years.	
General Correspondence		6 previous years + current	
Investigation case notes and Related papers. Proactive Projects Recording	Completion of court proceedings / disciplinary process.	6 years.	- Includes, inquiries involving fraud / other irregularities. Where action is in prospect or has been commenced, consult with legal representatives and keep in accordance with advice provided. - Taxes Management Act 1970. - Prescription and Limitation (Scotland) Act 1973.
Investigation case notes and related papers for research		20 years.	- Retention of specific closed cases by exception, for future analysis and research into criminal behaviour.
Patient exemption checking (patient record)		Current financial year (all records). Previous financial year (all records). 6 previous years + current from date of closure (records for cases where charges paid or written off).	
Intelligence, Referral and Initial Investigation Recording		6 previous years + current from date of closure.	
Intelligence and Initial Investigation - No evidence of wrongdoing		1 year from date of closure.	
Criminal Investigation Recording		6 previous years + current from date of closure.	
Payroll and Pensions			
Pay Records			
Pay as You Earn (PAYE) record	End of financial year.	3 years.	
Salary/Wage Record	End of current tax year.	10 years.	- For superannuation purposes authorities, may wish to retain such records until the subject reaches pensionable age.
Statutory Pay Scheme record	End of current tax year.	3 years.	- Covers maternity, paternity and sick pay schemes. - The Statutory Maternity Pay (General) Regulations S.I 1986/1960 as amended by SI 2005 No.989.

			- Statutory Sick Pay (General) Regulations S.I 1982/894.
Superannuation Records	Termination of employment.	75th birthday of employee.	- Includes accounts – registers and forms.
Substitute for Return (SFR)	End of financial year.	6 years.	
Personal Files		Payroll records from the 1st January 2000 should be kept indefinitely – Equal Pay Recommendations.	
Duty / Timesheets	Close of financial year.	6 years after the financial year to which they relate.	
Source Documents for Overtime, On Call, Emergency Duty, Lecture Fees, Domiciliary Visits, Bonus, ADHs		2 years after the financial year to which they relate.	
Weekly Sickness for Monthly Paid Staff		1 year on a rolling basis.	
Payroll Expense Claims		6 financial years.	
Travel and Subsistence Claims		3 years after completion of Audit.	
Computer Output			
Calculate / N.I. Aggregation Report QPA 005		1 year - on a rolling basis.	
Banking Output – BACS List QPA 008		1 year - on a rolling basis.	
Payroll Fiche QPA 009		Permanent.	
Advance Warnings / Calculate Messages / Other Payments QPA 009		1 year - on a rolling basis.	
Cash List (Acquittance) QPA 009		2 years - on a rolling basis.	
Allowance Deduction Code Analysis QPA 013		1 year - on a rolling basis.	
Zero Net Pays QPA 014		1 year - on a rolling basis.	
Protection Report QPA 016		1 year - on a rolling basis.	
Residency Return QPA 017		1 year - on a rolling basis.	
Non-Duty Sheet Indicator QPA 034		1 year - on a rolling basis.	
Superannuation Link QPA 034		1 year - on a rolling basis.	

Sickness Absence Report QPA 400		1 year - on a rolling basis.	
Temporary Variation Details QPA 702		1 year - on a rolling basis.	
Control Totals QPA 770		Retained by Payroll Manager with Tax, National Insurance and Superannuation Reconciliation.	
Daily Log QPA Logprint		1 year on a rolling basis.	
Sickness Absence Log QPA Sickprint		1 year on a rolling basis.	
Crown Cars			
Authorised Cars User Forms		6 years after the financial year to which they relate.	
Driving Licences		6 years after the financial year to which they relate.	
Salary Deduction Sheet		6 years after the financial year to which they relate.	
Lease Car Register		3 year - on a rolling basis.	
Successful Tenders		6 years after the financial year to which they relate, or contract expires.	
All documentation relating to tender exercises		6 years after the financial year to which they relate, or contract expires.	
Quotations		3 years after the financial year to which they relate, or contract expires.	
Financial System			
Consortium Project Team			
Cedar e-financials data including sales invoices, purchase orders and goods receipts and returned notes held within the General Ledger /		10 years after the financial year to which they relate.	

Sales Ledger / Purchase Ledger / Cash Management / Purchase Ordering / Stores / Fixed Assets modules			
Assyst helpdesk records		2 years.	
Systems access request forms		For life of Cedar e-financials.	
Project Plans and Documentation		3 years after the financial year to which they relate.	
Technical Specifications and Proposals		3 years after the financial year to which they relate.	
Procurement			
Supplier Account Records		Permanent.	
Manual Requisitions		2 years after the financial year to which they relate.	
Approved suppliers list	Superseded.	11 years.	
Contracts sealed or unsealed	End of contract.	7 years.	
Contract management files	End of contract.	5 years.	- Includes: contract award letters and agreements, post-tender negotiations, service level agreements, compliance reports, performance reports, variations to contracts (revisions, extensions). - Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45.
Contract to deliver core NHS services	Date of contract.	Permanent.	- Consider for transfer to the designated place of deposit. - Core NHS services = GP / Dentist / Optometry / Community Pharmacy.
Indents	End of financial year.	2 years.	
Medical equipment specification record	Date of purchase.	Permanent.	- For major items purchased. - Consider for transfer to the designated place of deposit.
Product liability record	Lifetime of product.	11 years.	
Purchase order	End of current financial year.	6 years.	- Includes goods received notes. - Keeping VAT records HMRC Reference: Notice 700/21 (October 2013).
Register of contracts	Expiration / conclusion of contract.	Remove.	- Procurement Reform (Scotland) Act 2014. Section 35. - The statutory requirement is that register entries for contracts cannot be deleted until contract expires or is

			terminated. The authority may choose to keep the entries for a longer period for historical purposes.
Stock control report	Date of creation.	2 years.	
Stores record – major	Date of creation.	6 years.	- Ledgers etc.
Stores record – minor	Date of creation.	2 years.	- Requisitions, issue notes, transfer vouchers, goods received books etc.
Suppliers details change record	Date change requested.	3 years.	- Records regarding change of bank details & associated supporting evidence.
Supplies record – minor (invitations to tender and inadmissible tenders, routine papers relating to catering and demands for furniture, equipment, stationery and other supplies)	Date of creation.	2 years.	
Tender evaluation, negotiation and notification records (successful)	End of contract.	5 years.	- Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45.
Tender evaluation, negotiation and notification records (unsuccessful)	Award of tender.	5 years.	
Financial Systems Customer Care			
Customer Relations			
Service Level Agreements		6 years after the financial year to which they relate.	
Taxation			
Pay as you earn (PAYE) records	End of financial year.	6 years.	
Substitute for Return (SFR) Returns	End of financial year.	6 years.	
Tax Forms	End of financial year.	6 years.	
VAT record	End of financial year.	6 years.	- In some instances, a shorter period may be allowed, but agreement must be obtained from HM Revenue and Customs.

Record Type	Retention Trigger	Retention Period	Citation / Notes
5. Human Resources & Workforce			
Administering Employees			
Disciplinary – First and Final written warning	Date of termination.	6 years.	- Although the sanction is spent after 12 months, the information relating to the written warning requires to be kept. It forms part of the employee's record which is held for the duration of employment and 6 years after.
Disciplinary – Letter of Dismissal	Date of dismissal.	10 years.	- Where action is in prospect or has been commenced, consult with legal representatives and keep in accordance with advice provided.
Disciplinary – Records of action taken	Date of termination.	6 years.	- Includes: Details of rules breached; Employee's defence or mitigation; Action taken and reasons for it; Details of appeal and any subsequent developments. - The Employment Act 2002 deals with dispute resolution but does not give time limits for record retention. - Where action is in prospect or has been commenced, consult with legal representatives and keep in accordance with advice provided.
Duty Roster / Timesheet	End of financial year.	6 years.	
GP Fit Note	Date of Termination.	6 years.	- Suggest copy is held in staff file however staff member retains the original.
Employee Record	Date of termination.	6 years.	- Consider section 5.11 of the Records Management Code of Practice for Health and Social Care regarding the retention of summary information. - Includes: personnel files, letters of application and appointment, confirmation of qualifications, contracts, joining forms, references and related correspondence, termination forms, leave cards / information.
Employee Training Record	Date of termination.	6 years.	- Consider section 5.11 of the Records Management Code of Practice for Health and Social Care regarding the retention of summary information.
Employee Training Records – Nurses	Completion of training.	30 years.	- Applies only to Nurse Training carried out in hospital-based nurse training schools.
Supervision Record – line management	Date of termination.	6 years.	- These should be stored within the employee record.
Supervision Record – practice /	Date of termination.	3 years.	- See section 5.11.2 of the Records Management Code of

clinical / educational			Practice for Health and Social Care for further information. - The organisation's record should be stored by the supervisor, a copy can be held by the employee for as long as they feel is required.
Training Course attendance record	Date of course.	5 years.	- Individual's attendance at courses should be noted within staff records. - Applies to lists of all staff who attended. - This is not applicable to mandatory and statutory training
Training Course evaluation	Date of course.	3 years.	
Training Programmes Materials and Resources	Superseded.	3 years.	- Includes: description of course, dates training held, publicity, presentations, handouts, user guides.
Grievance Record	Date of termination.	6 years.	
Referral to Professional Bodies	Date of termination.	6 years.	- Covers all professional bodies including GMC / NMC / AHPF. - Consider retaining records for longer if investigation has not yet been concluded by professional body.
Volunteer / Contractor / Agency / Bank Staff record	Date of termination.	6 years.	- See section 5.11 of the Records Management Code of Practice for Health and Social Care for further information. - Treat as employee record. - Includes: personnel files, letters of application and appointment, confirmation of qualifications, contracts, joining forms, references and related correspondence, termination forms.
Work force placement record	Date of termination.	6 years.	- Includes students, schoolwork experience, government placement initiatives.
Work Schedule Report (routine & ad hoc)	Date of creation.	1 year.	
Disciplinary – First and Final written warning	Date of termination.	6 years.	- Although the sanction is spent after 12 months, the information relating to the written warning requires to be kept. It forms part of the employee's record which is held for the duration of employment and 6 years after.
Disciplinary – Letter of Dismissal	Date of dismissal.	10 years.	- Where action is in prospect or has been commenced, consult with legal representatives and keep in accordance with advice provided.
Appraisal Record	Date of termination.	6 years.	- Personal development appraisals and development reviewed (PDRs).
Employee Engagement			
Industrial relations (not routine – including tribunal case records)	Closure of investigation.	Permanent.	- Consider for transfer to the designated place of deposit.

Equality & Diversity			
Investigations – Case files	Investigation concludes, and actions is spent / Retain current information throughout employment.	6 years / Employment term.	
Equalities Papers for publication	Superseded.	4 years.	- Equality Act 2010.
Equality & Diversity Action Plan	Superseded.	4 years.	- Including for example British Sign Language action plan. - Equality Act 2010.
Equality & Diversity Investigation File	Date of termination.	6 years.	
Equality & Diversity	Superseded.	4 years.	- Including Protected characteristic report, from staff and patient perspective. - Equality Act 2010.
Language translation service record	End of year.	3 years.	
Occupational Health			
Audit Inspection Records		10 years minimum.	
Occupational Health Record	Date of termination.	10 years.	- See section 5.24 of the Records Management Code of Practice for Health and Social Care for further information for further information. - Occupational Health Records must be kept separate from the main staff record.
Occupational Health SLAs and Procedures	Date of award.	6 years.	
Mandatory Occupational and Health Safety Training Records	Date of termination.	10 years.	
Personal exposure of an identifiable employee monitoring record	Date of exposure.	40 years.	- The Ionising Radiations Regulations 2017.
Occupational Health Report	Date of termination.	6 years.	- See section 5.24 of the Records Management Code of Practice for Health and Social Care for further information for further information. - Occupational Health Records must be kept separate from the main staff record.
Health promotion record – (staff)	End of promotion.	10 years.	- Core papers and visual materials relating to major initiatives. - Consider for transfer to the designated place of deposit.
Spiritual Care record	End of year to which they relate.	2 years.	

Recruitment			
Applications for employment – unsuccessful applicants	Date of recruitment.	1 year.	- This includes paperwork for those who were invited to and participated in an interview.
Recruitment Advert	Date of advert.	1 year.	- For jobs where unusual patterns of progression are advertised, it is recommended the job advert paperwork is kept for the length of the progression period plus 6 years if a complaint exists.
CVs for non-executive directors – successful	End of term of office.	5 years.	
CVs for non-executive directors – unsuccessful		2 years.	
Disclosure Scotland information	Date on which recruitment or other decisions have been taken.	90 days.	- 90 days after the date on which recruitment or other relevant decisions have been taken. - Certification number and disclosure level can be retained as a summary record.
Right to work checks documentation – successful candidates	Date of termination.	6 years.	- This includes photocopies of passports, birth or adoption certificates, immigration status documents (visa). - These should be stored securely within the primary employee record stored within the Human Resources department. - Required for duration of employment as per Home Office guidance.
Right to work checks documentation – unsuccessful candidates	Date of recruitment.	3 months.	- This includes photocopies of passports, birth or adoption certificates, immigration status documents (visa). - These should be stored securely for a maximum of three months.

Record Type	Retention Trigger	Retention Period	Citation / Notes
6. Digital & Security			
System Development			
Digital Development record	Decommissioning of system.	5 years.	- Development, post-implementation development changes to an ICT system. - Consider for transfer to the designated place of deposit.
Security Management			
System Security protocols	Decommissioning of system.	5 years.	- Prescription and Limitation (Scotland) Act, 1973 and 1984.
User Account Management record	Closure of user account.	1 year.	- Opening, maintenance and closure of a user account for an ICT system.
Access Monitoring record	End of current year.	2 years.	- Routine monitoring of access to, and use of, an ICT system.
System Security breach record	Last action on incident.	10 years (Adverse Event Category II and III). Permanent (Adverse Event Category I).	- Records relating to the detection and investigation of security breaches of an ICT system, and action taken. - If the files are part of an adverse event record, they should be retained based on their category rating (I, II or III).
Systems Operation Management			
Data sets for reporting and longitudinal studies	End of data collection.	Keep under review.	- Includes datasets transferred to data warehouse and used for reporting purposes (to Board, NHSS or SG) and for longitudinal studies. - Keep under review for continued value which can be justified, with consideration of storage costs and carbon footprint. - Fully anonymised datasets may be retained long term. - Data sets containing personal data (including pseudonymised data) must only be retained as long as necessary for the purposes they were collected for, unless they have been selected for permanent preservation in an archive. - For data sets which have enduring value consider transfer to permanent place of deposit or Data Archive (e.g., Data Loch).
Fault Investigation record	Closure of investigation.	3 years.	- Investigation of faults reported by users of an ICT system, and action taken to rectify problems.
Hardware Asset Register	Return of Equipment.	5 years.	- Register of removal / return of mobile ICT systems hardware and software from / to Board premises

Software Licence Maintenance record	Expiry / Termination of licence.	5 years.	- Maintenance of the software s) for an ICT system. - Prescription and Limitations (Scotland) Act, 1973 and 1984.
Routine testing / monitoring record	End of current year.	1 year.	- Routine monitoring and testing of an ICT system, and action taken to rectify problems and optimise performance.
Investigation of faults reported by users of an ICT system, and action taken to rectify problems	Close of investigation.	3 years.	
Management of data record	End of current year.	1 year.	- Management of data in an ICT system, including the operation of routine data backup, archiving and deletion routines.
Maintenance of the software licence(s) for an ICT system	Expiry/Termination of licence.	5 years.	- Prescription and Limitation (Scotland) Act, 1973 and 1984.
System Management record	Decommissioning of system.	5 years.	- Management of an ICT system – system file (including handover documents, user guides, system support, technical and knowledge base documentation).
System Audit Log	End of current year.	2 years.	- Routine audit logs of all activity within the system.
Hardware Disposal log	Disposal of equipment.	5 years.	- Disposal log of arrangements for the sanitisation and disposal of institutional ICT equipment.
System User Training & Support			
Development of technical and application training and guidance for IT system users	Superseded.	5 year.	- Routine audit logs of all activity within the system.
User request record	Close of call.	1 year.	- Logging, investigation and resolution of user requests for technical and application support.

Record Type	Retention Trigger	Retention Period	Citation / Notes
7. SCOTTISH NATIONAL BLOOD TRANSFUSION SERVICE			
The guidance below is based on that published within: • Rules and Guidance for Pharmaceutical Manufacturers and Distributers (Orange guide), Chapter 4: Documentation, Annex 19: Reference & Retention Samples and including Part IV GMP specific to ATMPs • Blood Safety and Quality Regulations (SI 2005, 50) as amended • Current edition of EDQM Good Practice Guideline for standards and specifications for implementing the quality system in Blood Establishments and Blood Banks • Requirements of Statutory Instrument 2007. No 1523, The Human Tissue (Quality and Safety for Human Application). • Current Version of Guidelines for Blood Transfusion Services in the United Kingdom ("Red Book"). • Human Medicines Regulations 2012 No. 1916 as amended including EU Exit regulation with Reference to GMP and GDP and ATMPs. • Statutory Instrument 2004 No.1031: The Medicines for Human Use (Clinical Trials) Regulations, as amended • HFEA code of Practice • JACIE Standard • British Pharmacopeia • ISO 15189, ISO 17025, ISO 9001, ISO 13485 (Medical laboratories, testing and calibration, Medical Devices QMS, QMS) • BSH guidelines • European Federation of Immunogenetics Standards • British Standards in Haematology guidelines Current versions • Human Tissue (Scotland) Act 2006 • OECD Series on Principles of Good Laboratory Practice & Compliance Monitoring (No.15 – ENV/JM/MONO(2007)10) • Scottish Government Records management: Health and Social Care Code of Practice (Scotland) 2020 • Statutory Instruments 1999 No. 3106 as amended – The Good Laboratory Practice Regulations 1999 • Statutory Instruments 2004 No. 994 as amended – The Good Laboratory Practice (Codification Amendments Etc.) Regulations 2004 • The Retention & Storage of Pathological Records & Specimens (October 2025) – Best Practice Recommendations from Royal College of Pathologists & The Institute of Biomedical Science • Human Fertilisation Embryology Act 2008 (as amended) • Human Fertilisation Embryology Authority (current edition) Codes of Practice			
Blood Information Services			
Microfiche Reports		Permanent.	- Review in 30 years.
SACTTI Working Group (vCJD)		Permanent.	- Review in 30 years.
Patient Services			
Accreditation/licence documents and records of inspections	From date undertaken.	Minimum of 10 years, or at least 2 inspection cycles (anticipating a 4 yearly cycle for accreditation against ISO 15189), whichever is longer.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015). - January 2012.

Annual reports (where required by the BSQR)	From date released.	15 years.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Batch records	From each batch processed.	At least 10 years.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Blood Bank Register, blood component audit trail and fates: ▪ Blood component supplier identification ▪ Issued blood component identification ▪ Transfused recipient identification ▪ Blood units not transfused; confirmation of subsequent disposition (discard/other use) ▪ Lot number(s) or derived component(s) if relevant Date of transfusion or disposition (day, month and year)	All records from donation to final fate.	At least 30 years to allow full traceability of donor and recipient.	- BSQR (amended) 2005. - The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015). - Scottish Government Records Management Code of Practice for Health and Social Care V4.0. - Statutory Instruments 2005 No. 50.
Blood for grouping, antibody screening and saving and/or cross-matching	Upon receipt.	Stored at +4°C. 10 day retention for EDTA samples (Ethylenediamine tetra acetic acid). For plasma samples must be available for a minimum of 14 days post-transfusion for investigation of acute transfusion reactions.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Bound copies of reports/records, if made	Upon receipt.	30 years.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Clinical Trials	Upon receipt.	25 Years.	- Statutory Instrument 2004 No.1031: The Medicines for Human Use (Clinical Trials) Regulations, as amended.
Correspondence on patients	Upon receipt.	This should be lodged in patient's record. Otherwise, keep	- The Retention & Storage of

		for at least 30 years.	Pathological Records & Specimens (5th Edition, April 2015).
Daily work logs (day books and electronic equivalents) and other records of specimens received by a laboratory	From specimen receipt.	8 Years from specimen receipt to ensure availability for review through at least 2 full cycles of laboratory accreditation.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Duty free spirit records for H&I sequencing assays.	Arrival of duty-free spirit on site.	6 Years.	- Sections 8 and 10 of the Alcoholic Liquor Duties Act 1979, retention period is defined by HMRC.
Electrophoretic strips and immunofixation plates	Once utilised.	Keep for 5 years, unless digital images are taken. If digital images of adequate quality for diagnosis are taken, then the original preparations may be discarded after 2 years. The images should be stored as discussed under "Photographic Records", bearing in mind the need to maintain the ability to read archived digital images when equipment is updated.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Equipment maintenance logs	End of lifetime of installation.	Lifetime of installation.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015). - Scottish Government Records Management Code of Practice for Health and Social Care V4.0.
External Quality Assurance (EQA) records	Upon receipt.	Most external quality assessment (EQA) / proficiency testing providers maintain the capacity to regenerate reports of participant's performance rather than the individual records themselves. This capacity should be maintained for at least 8 years to allow retrospective review in the event of an official enquiry into performance and as a backup for retrieval of data needed by participants for their next cycle of UKAS accreditation. This should apply equally to laboratory technical EQA schemes and schemes addressing clinical competence. Participants' returns (electronic or hard copy) received for data entry. These should be kept for at least 3 months (or one month after the report has been sent to the participant, if longer), as working documents, to facilitate identification, checking and correction of discrepancies.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).

		Performance surveillance records including communications with and complaints from participants: • Ethical approval and consent records for donated material, • Quality assurance and safety documentation relating to circulated materials, including virus testing, where relevant, and homogeneity results from third-party suppliers, • Records of contractual agreements with commercial and NHS suppliers. Storage of such records is recommended for at least 5 years.	
Foetal Serum	Upon receipt.	Because of its rarity and value for future research, wherever possible foetal serum should be kept for at least 30 years.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Forensic material – criminal cases	Upon notification by relevant authority.	In cases where criminal proceedings can be anticipated, all recordings made at the autopsy, be they handwritten notes (by everyone i.e., pathologist, technician, trainee, etc), tape recordings, drawings or photographs, are all documentary records and as such their existence must be declared (disclosed) and they must be kept permanently. They must be available to all involved throughout the lifetime of the case, including appeals and other reinvestigations. They are not normally entered in the patient record.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Forensic Material – Autopsy Records, specimens, archived material and other, where the deceased has been the subject of a Coroner's autopsy.	Upon notification from relevant authority.	a) HM Coroners or Procurators Fiscal have absolute dominion over autopsy reports. They are confidential to them and may not be released without their consent to any third party. It is good practice to lodge copies of autopsy reports in the deceased's notes, but the consent of the Coroner or Procurator Fiscal should be obtained. Independent pathology practitioners undertaking post-mortem examinations on behalf of Coroners or Procurators Fiscal must ensure that they use facilities to store record and specimens that have governance arrangements equal	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).

		to those pertaining to NHS and academic institutions used for these purposes. Indeed, all practices regarding retention and disposal of post-mortem records and specimens by such practitioners in the UK must be directly comparable to those applicable to practitioners directly employed by HTS-license NHS or academic instructions.	
Permanently preserved cultures	On preservation.	Permanently retained.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Human DNA and RNA	On receipt.	a) Keep for a minimum of 8 weeks after final report for diagnostic specimens. At least 30 years if needed for family studies in those with genetic disorders or if stored as donor/recipient material in the context of cell or tissue transplantation.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Internal quality control records	Once generated.	10 years.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Laboratory file cards or other working records of test results for named patients	On completion.	30 years. One year from specimen receipt if all results transcribed into a separately issued and stored formal report. The diversity of these types of working records is very wide; within individual specialities and departments, consideration should be given to the potential audit or medicolegal value of storing such working records for 30 years, as for other primary records. It is recommended by the Royal College of Pathologists that results of tests undertaken by external laboratories, where records are held by those laboratories and the results are transcribed locally into a cross-referenced report, are regarded as such working documents.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Mislabelled sample request forms	Upon receipt.	8 years, or at least 2 inspection cycles.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Mislabelled samples log	Upon receipt.	8 years, or at least 2 inspection cycles.	- The Retention & Storage of Pathological Records & Specimens

			(5th Edition, April 2015).
Museum specimens, where these are generally accessible for undergraduate or postgraduate study (teaching collections)	Once produced.	These may be retained permanently (provided there is no deterioration, or until replaced by a better specimen).	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Paraffin wax or resin embedded blocks for histology	Once utilised.	Storage for at least 30 years is recommended, if facilities permit. If not, review the need for archiving at 10 years and select representative blocks, showing relevant pathology, for permanent retention.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Pathological archive or museum catalogues	Upon receipt.	For as long as the specimens are held or until the catalogue is updated, subject to consent where required (with maintained and accessible documentation of consent).	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Photographic records	Once produced.	Where images represent a primary source of information for the diagnostic process, whether conventional photographs (+/- negatives; e.g. for electron microscopy) or digital images, they should be kept for at least 30 years. In practice, most such circumstances are rare; they may include, for example, some macroscopic specimen records and images from post-mortem examinations.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Plasma and Serum	Upon receipt.	Keep for 48 hours after final report has been issued by the laboratory. In transplant centres, serum samples obtained from recipient(s) for the purpose of matching in cell/tissue transplantation, and their accompanying records, must be kept for the lifetime of the recipient. For transplant-related virology/microbiology samples, a minimum of 10 years for donor material, and 30 years for recipient material is recommended, which is consistent with SaBTO guidance on the microbiological safety of human organs, tissue and cells used in transplantation; the associated virology/microbiology records should be stored retrievably for 30 years. Serum from the first pregnancy booking visit should be kept for two years by microbiology/virology and other relevant	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).

		laboratories to provide a baseline for further serological or other test for infections or other disease during pregnancy and the first 12 months after delivery. Sera for virological assessment of individuals dialysed overseas should be retained for one year. Wherever possible foetal serum (from cordocentesis) should be kept for 30 years. Serum taken after needlestick injury or other hazardous exposure should be kept for a minimum of 2 years. Other left-over sera or plasma should be stored for as long as practicable, to provide an array of material for future research and disease surveillance purposes. While long term storage may be impractical in many settings, virology centres and laboratories involved routinely in public health activities should retain sera for a minimum of one year to facilitate 'look-back' exercises, identification of emerging infections and vaccine programming monitoring.	
Point-of-care test data	Once produced.	Results should be entered into the patient's record; the log of specimens analysed should be retained for at least the lifetime of instrument.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Protocols of Standard Operating Procedures	Once generated.	Both current and outdated protocols should be dated and kept in a catalogued, accessible format for at least 30 years.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Records of service inspections and instrument maintenance	Once generated.	Lifetime of instrument; plus a minimum of four years.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Records of telephoned or faxed reports	Once generated.	Note of the fact and date/time that a telephoned or faxed report has been issued should be added to the laboratory electronic record of the relevant report, or to hard copies, and kept for minimum of five years. Where management advice is discussed in telephone calls, a summarised transcript should be retained long term, as for retention of other correspondence.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).

		Clinical information or management advice provided by fax, in addition to pure transmission of a report, should also be kept as correspondence filed in the patient's notes and/or stored with a laboratory copy of the specimen request/report for 30 years.	
Records relating to cell/tissue transplantation	Once generated.	Records not otherwise kept or issued to patient records that relate to investigations or storage of specimens relevant to cell/tissue transplantation, including donated organs from deceased individuals, should be kept for at least 30 years.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015). - Scottish Government Records Management Code of Practice for Health and Social Care V4.0.
Records relating to retention of semen, spermatozoa, oocytes and tissues for fertility assessment and use of assisted reproduction	Once generated.	Records will be retained in accordance with the current version of HFEA General Directions 0012, which depending on the records and the circumstances, are up to for a period of at least 50 years from the date on which information about the treatment was first recorded.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015). - Scottish Government Records Management Code of Practice for Health and Social Care V4.0.
Records relevant to production of diagnostic products or equipment	Once generated.	Comprehensive records relevant to procurement, use, modification and supply: at least 8 years.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Refrigerator and freezer charts	Once generated.	These should be kept for 15 years.	- BSQR / The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Reports and copies (physical or electronic)	Once generated.	6 months or as needed for operational purposes.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Request forms	Upon receipt.	It is prudent to keep request forms until the authorised report, or reports on investigations arising from it. As this period of time may vary with local circumstances, with no recommended minimum retention time, but ordinarily request forms need not be kept for longer than one month after the final report has been dispatched. For many uncomplicated requests, retention for one week should suffice.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).

		Where paper directly duplicates an electronic request (e.g. many order comms systems), there is no absolute requirement to retain the paper copy. Where the request form contains clinical information not readily accessible in the patient's notes in the interpretation of test data (as in screening for alpha fetoprotein, cytogenetic and molecular genetics testing), the request should be kept for at least 30 years. Similarly, where the request form is used to record working notes or as a worksheet, it should be retained as part of the laboratory record unless the information is transcribed to another source (such as a computer record).	
Request forms for grouping, antibody screening and cross-matching	Upon receipt.	Retain for 1 month.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Results of grouping, antibody screening and other blood transfusion-related tests	On Completion.	Retain for 30 years, in compliance with the Blood Safety and Quality Regulations.	- BSQR (amended) 2005. - The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Separated serum, or plasma, stored for transfusion purposes	Upon receipt.	a) Recipient plasma/serum samples should be stored for up to 14 days post-transfusion for investigation of a delayed transfusion reaction. b) Storage of donated serum/plasma should optimally be stored at -30ºC or colder. These materials may be stored for up to 6 months. Archived blood donor samples should be stored by blood services for at least 3 years, and preferably longer if it is practicable, in order to facilitate 'look-back' exercises.	- BSH Pretransfusion compatibility procedures guidelines (2012). - The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Stained slides	Once produced.	a) Microbiological (e.g. cerebrospinal fluid preparations, malarial blood films, blood culture films, acid-fast bacilli cultures): 7 days after final report. Standard Gram-stained preparations from culture plates may be discarded immediately after use b) Blood films, routine: 7 days after final report	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).

		c) Cytogenetic preparations: 2 years after final report, if photographic or digitised record kept; 5 years otherwise. If photographed or digitised, the image should be stored with maintained accessibility for 30 years if feasible. d) Molecular genetic and molecular cytogenetic preparations (e.g. microarray slides, fluorescence *in-situ* hybridisation [FISH] slides): A representative photographed or digitised image should be captured for all patients and stored with maintained accessibility for 30 years. Long-term storage of fluorescently stained slides is problematic but these should be retained at least unit the final written report has been authorised and issued e) Bone marrow films: Stained films used for diagnosis, 30 years minimum Cytology, including population screening: 10 years minimum, and longer if possible for audit purposes. f) Histology: at least 10 years, and longer if practicable Semi-permanent preparations such as direct immunoflurescence slides, used in variety of pathology disciplines, should be kept at least until the final specimen report has been issued.	
Storage of material following analyses of nucleic acids	Upon receipt.	Developing technologies means that there is ever-increasing variety of hard copy and/or electronic outputs associated with the analysis and interpretation of diagnostic tests using nucleic acids. It is recommended that such outputs should be stored for at least 30 years unless the technical details and interpretation are transcribed into a permanently accessible report formats authorised by senior clinical laboratory staff or pathologists. The latter reports should then be kept for at least 30 years, as for other pathology reports, and the machine outputs may be regarded as working documents. For such working documents, storage for at least 10 years is recommended.	- The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Surgical (histological) reports	Once generated.	30 years.	- The Retention & Storage of

			Pathological Records & Specimens (5th Edition, April 2015).
Whole blood samples, for full blood count	Upon receipt.	Retain specimens for 24 hours.	- Applies to donor teams. - The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Worksheets	On completion.	At least 30 years to allow full traceability.	- BSQR (amended) 2005. - The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Anti-Hepatitis B Core Lookback Related Correspondence	Date of creation.	25 years (Managed as a health record).	- Scottish Government Records Management Code of Practice for Health and Social Care V4.0.
Quality & Regulatory Compliance			
Audit (Internal, external, supplier, vendor, etc)		30 Years.	
Batch Issue History Sheets		Permanent.	- Review in 30 years.
Batch Records (Externally Manufactured Product)	From date of expiry.	5 years.	
Batch Records (Finished Product)		Permanent.	- Review in 30 years
Batch Records (Intermediates)		Permanent.	- Review in 30 years.
Batch Records (Raw Materials)	From date of expiry.	5 years.	
Change control	From year of Change Control.	30 years.	
Commissioning Documents		Permanent.	- Review in 30 years.
Defect Reports		Permanent.	- Review in 30 years.
Donor Selection Guidelines (Master Copy)		Permanent.	- Review in 30 years.
Electronic Records held on: ▪ eProgesa ▪ Traceline ▪ Tissue Trace ▪ TCS ▪ Proteus		 Minimum of 30 years. Minimum of 30 years. Minimum of 30 years. Minimum of 30 years. 10 years.	
Environmental Monitoring Printouts and Records		30 years.	

Epidemiology Data		Permanent.	- Review in 30 years.
Equipment Logbooks		30 years.	
External Inspection Reports (e.g. MHRA, HTA, CPA, UKAS and Follow Up)		Permanent.	- Review in 30 years.
GxP Risk Assessments		30 years.	
Haemovigilance records (SABRE/SHOT/HTA reports)		30 years.	
In-House Audits		30 years.	
Incident Reports		30 years.	
Donor / Patient Information Leaflets		30 years.	
Vapourised Hydrogen Peroxide (VHP) Hatch print outs		5 years only prior to destruction.	
Duty Free Spirits Ethanol	Documents regarding use of Ethanol.	6 years.	
Flushing Record (Legionella and other pathogens)	End of financial year.	5 years.	- Flushing of all outlets in unoccupied areas and little-used outlets and high risk areas including NNU, ITU, Oncology and Renal Dialysis Unit. - Legionnaire' disease: the control of legionella bacteria in water systems. Approved Code of Practice L8. 4th ed. 2013.
Microbiological cultures		Most positive cultures, including viral cultures, can be discarded within 24-48 hours of issuing final authorised report. Specified cultures of clinical importance (e.g. blood culture isolates, cerebrospinal fluid isolates, enteric pathogens, multiple resistant or methicillin resistant *Staph. aureus,* 'outbreak' strains, *M. tuberculosis,* Group A streptococci, and unusual pathogens of clinical significance) should be retained for at least 7 days. Where isolates have been referred to Reference Laboratories, they should be retained until receipt of the	

		reference laboratory's final report.	
Offsite Data Storage Records for SNBTS		Permanent.	- Review in 30 years.
Permit to Workbooks		10 years.	
PFC Aseptic Dispensing Records		5 years.	
PFC Autoclave Run Sheets		5 years.	
PFC Broth Fill Records		Permanent.	- Review in 30 years.
PFC Crystalloid Product		Expiry + 1 year.	
PFC Good Laboratory Practice (GLP) Audit 1998 - 2005		Permanent.	- Review in 30 years.
PFC Good Laboratory Practice (GLP) Study Records		Permanent.	- Review in 30 years.
PFC Intermediate RFII Powders		Permanent.	- Review in 30 years.
PFC Library Samples (4mM Sodium Chloride)		Permanent. (Minimum no. of samples to be retained = 2).	- Review in 30 years.
PFC Library Samples (Albumin – all types)		Permanent. (Minimum no. of samples to be retained = 2).	- Review in 30 years.
PFC Library Samples (Bottles)		Expiry + 5 years. (Minimum no. of samples to be retained = 10).	
PFC Library Samples (Calcium Chloride)		Permanent. (Minimum no. of samples to be retained = 2).	- Review in 30 years.
PFC Library Samples (Chemicals)		Expiry + 1 year	
PFC Library Samples (Closures)		Expiry + 5 years. (Minimum no. of samples to be retained = 20).	
PFC Library Samples (Coagulation Factors (e.g. FXIII, FIX))		Permanent. (Minimum no. of samples to retained = 3).	- Review in 30 years.
PFC Library Samples (Crystalloids)		Expiry + 1 year. (Minimum no. of samples to be retained = 1).	
PFC Library Samples (Fibrin Sealant Kit)		Permanent. (Minimum no. of samples to be retained = 2).	- Review in 30 years.
PFC Library Samples (Fibrinogen)		Permanent. (Minimum no. of samples to be retained = 2).	- Review in 30 years.
PFC Library Samples (Intramuscular Gammaglobulin (IMG) all types)		Permanent. (Minimum no. of samples to be retained = 4).	- Review in 30 years.

PFC Library Samples (Intravenous Gammaglobulin (IVG))		Permanent. (Minimum no. of samples to be retained = 2 including WFI with batch). All Freeze-dried Intravenous Gammaglobulin (IVG) library samples should be stored in a cold room (+2°C to +8°C) up until the batch expiry date. After the expiry date it may be transferred to warehouse storage at room temperature if space in cold storage is limited. When this transfer takes place, it is acceptable to remove the Water for Injection (WFI) from the sample and to retain the 2 IVG samples in one box. This is done to relieve storage space. It does not affect the recovery of WFI library samples because these are already stored as separate units in the WFI library. This is covered by modification Proposal 01-026.	- Review in 30 years.
PFC Library Samples (Liquid Intravenous Gammaglobulin (LIG))		Permanent. (Minimum no. of samples to be retained = 2).	- Review in 30 years.
PFC Library Samples (Needles)		Expiry + 5 years. (Minimum no. of samples to be retained = 10).	
PFC Library Samples (Packaging – All types)		Permanent. (Minimum no. of samples to be retained = 5). When storage capacity at JCC is exceeded, dry packaging (e.g. boxes, labels and leaflets) will be sent to a secure external store for archiving.	- Review in 30 years.
PFC Library Samples (Polysorbate 80 Diluent)		Permanent. (Minimum no. of samples to be retained = 2).	- Review in 30 years.
PFC Library Samples (Syringes)		Expiry + 5 years. (Minimum no. of samples to be retained = 5).	
PFC Library Samples (Thrombin)		Permanent. (Minimum no. of samples to be retained = 2).	- Review in 30 years.
PFC Library Samples (TRIS)		Permanent.	- Review in 30 years.

		(Minimum no. of samples to be retained = 2).	
PFC Library Samples (Water for Injection)		Expiry + 1 year. (Minimum no. of samples to be retained = 2).	
PFC NEQAS		Permanent.	- Review in 30 years.
PFC NIBSC Records		Retain correspondence and information permanently, otherwise discard.	- Review in 30 years.
PFC Reagents / Buffers / LISS		5 years from expiry, or 10 years if no expiry.	
PFC Self-Inspections / In-House Audits		30 years.	
PFC Signature List		Permanent (unless finance then 3 years after last audit).	- Review in 30 years.
PFC Plasma Pools – Normal and Specific		Permanent.	- Review in 30 years.
PFC Plasma Records / Transport / Plasma Recalls		Permanent.	- Review in 30 years.
PFC Process Modifications		30 years.	
PFC Viral Kill Records		Permanent.	- Review in 30 years.
PFC Water Dossier		Permanent.	- Review in 30 years.
Product Licences		Permanent.	- Review in 30 years.
Purchasing Specification		5 years.	
Pharmacovigilance Records		Permanent.	- Review in 30 years.
Product Licences		Permanent.	- Review in 30 years.
Product Recalls		Permanent.	- Review in 30 years.
Quality Control Assay Results and Raw Data		30 years.	
Quality Questionnaires	From date of signed Quality Questionnaire.	30 years.	
Records of serious events		Records of any serious events which may affect the quality or safety of blood or blood components must be retained for at least 15 years.	
Refrigeration and freezer charts		15 years.	
Registry		Permanent: Corporate and health records will not normally be retained for longer than the specified retention period. However, a selection of records of long-term legal, administrative, epidemiological and/or historical value	- Review in 30 years. - Consider transfer to the designated place of deposit.

		should be identified for permanent preservation. Such records should be transferred to an archive, either the organisation's own NHS archive or a local authority or university archive with which the organisation has an existing relationship. "UK GDPR Article 5(1)(e)" - permits personal data identified as being of historical or statistical research value to be kept indefinitely as archives.	
Regulatory Affairs Records		Permanent.	- Review in 30 years.
Stability Study Records / Results / Raw Data		Permanent.	- Review in 30 years.
Standard Operating Procedures (SOPs): Master copies of current, superseded, outdated and withdrawn SOPs		Kept in a catalogued and accessible format for at least 30 years.	
Supplier data (documentation and general correspondence)		5 years.	
Supplier Validation Guidelines		5 years.	
Technical Agreement for Service Providers	5 years after completion of GMP work.	5 years.	
Technical Reports		5 years.	
Test Kit Files		Permanent (move to SNBTS Registry).	Consider transfer to the designated place of deposit.
Third Party Supplier Agreements		30 Years.	
Traceability records (blood and tissues)		30 years.	
Validations / Revalidations (PFC)	From date of validation.	5 years.	
Validations / Revalidations (National)	From date of validation.	30 years.	
Research & Development			
Confidential named patient data (documentation) collected in the course of investigation and held separately from patient's records		Should be destroyed or anonymise 6 months after the research has been completed, the data have been analysed and final publication of findings has been made. If further recourse to identifiable information is anticipated, it	

		should be kept for as long as such a need may exist, if it is permissible under the Data Protection Act (2018); advice should be sought.	
Working records and other research data		Should be retained for at least 10 years to rebut allegations of scientific fraud but, wherever possible, these records should not include patient-identifiable data unless consent for such retention has been obtained. Records and clinical trial data on medicines must be kept for at least 15 years. The provisions of the Data Protection Act (1998) must be observed for these as for other pathological records.	
Donor & Transport Services			
Donor Session Record (DSR) forms Includes archived paper DSRs and electronic copies, depending on the retention method in use at the time of donation. These records may also include microfiche or microfilm records. Individual Apheresis Donor files		30 years.	- Blood Safety Quality Regulations 2005 as amended. - Data needed for full traceability in accordance with this Article shall be kept for at least 30 years.
All controlled documents and forms used on session. Information relating to the performance and products collected at session. Information relating to cleaning and temperature monitoring. Information relating to equipment used on session. Information regarding consumables used on session. Information regarding staff attending session.		30 years.	- Blood Safety Quality Regulations 2005 as amended for the Collection, Testing, Processing, Storage & Distribution of Human Blood & Blood Components, states data needed for full traceability in accordance with this Article shall be kept for at least 30 years.

All forms relating to venue assessments to ensure suitability of venue, layout of session and any amendments made.		30 years.	- Blood Safety Quality Regulations 2005 as amended for the Collection, Testing, Processing, Storage & Distribution of Human Blood & Blood Components, states data needed for full traceability in accordance with this Article shall be kept for at least 30 years.
Session Supplies Record of haemoglobin analyser controls		30 years.	- Blood Safety Quality Regulations 2005 as amended for the Collection, Testing, Processing, Storage & Distribution of Human Blood & Blood Components, states data needed for full traceability in accordance with this Article shall be kept for at least 30 years.
Donor Medical Records Includes session referral forms and other documents relating to: - donor eligibility decisions - donor adverse events - post donation alerts - clinical management of donor testing results or other laboratory enquires - investigation of possible transfusion reactions - lookback or traceback investigations other clinical information relevant to individual donor / donation records not covered in the list above		30 Years.	- Blood Safety Quality Regulations 2005 as amended for the Collection, Testing, Processing, Storage & Distribution of Human Blood & Blood Components, states data needed for full traceability in accordance with this Article shall be kept for at least 30 years.
Donor Expenses Claim Forms		6 Months.	
Donor Admin Paperwork All forms relating to post session clear up		30 years.	

Temperature Monitoring		30 years.	
Donor Admin and Operations forms relating to DSG Toolkit updates		30 years.	
Quality Improvement Audit Original Documentation		3 years from date of completion.	
Quality Improvement Audit Reports		3 years.	
Records relating to donor or recipient sera		Serum samples obtained from recipient(s) for the purposes of matching in cell/tissue transplantation, and their accompanying records, must be kept for the lifetime of the recipient.	
Transport Time Stamp Cards		2 years.	
Transport Journey Sheets		5 years.	
Transport Vehicle Records (MOT, Service Record)		7 years or the length of time SNBTS is in possession of the vehicle; whichever is greater.	
Manufacturing			
Processing Batch Manufacturing Records (Miscellaneous documentation including: reconciliation, processing steps, cold chain, issues, transport)		30 Years.	
Donor Testing Records		30 Years.	
Tissues, Cells and Advanced Therapeutics			
Batch Record – Bone Donor	After final fate of product.	Minimum of 30 years after final fate of product.	
Batch Manufacturing Records	After final fate of product.	Minimum of 30 years after final fate of product.	
Blocks for electron microscopy	Once produced.	Keep for at least 30 years.	The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Blood Sample Batch despatch form	Date of completion	1 year.	
Body fluids, aspirates and swabs	Upon receipt.	Keep for 48 hours after the final report has been issued by the laboratory, unless sample deterioration precludes storage. Examples of the latter include joint fluids examined	The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).

		for crystals and semen specimens examined for spermatozoa, which may be discarded immediately after analysis, and coagulation samples, which may be discarded after 24 hours. Samples that are easily and non-invasively repeated, such as most urine samples, may be destroyed once the examination is concluded and the final report has been authorised. Reference laboratories receiving all or part of a specimen of this sort from another laboratory should follow the same guidance.	
Bone kit issue sheet	Date of return of bone kit.	Retain until reconciliation of bone kits complete.	
Bone kit preparation form / record	Date of completion.	30 Years from post final fate of bone product.	
Cleaning Record - Equipment	Date of completion.	10 Years.	
Cleaning Record – Facility	Date of completion.	Minimum of 30 years.	
Clinical Product Stock Check Records	Date of completion.	Minimum of 30 years post final fate of product.	
Concessionary release paperwork	Date of clinical use.	Minimum of 30 years from date of clinical use.	Concessionary release paperwork.
Consumable Stock Check Records	Date of completion.	3 years.	Consumable Stock Check Records.
Cryostorage vessels Logbooks (including maintenance records)	55 years from retirement of equipment.	Lifetime of equipment plus 55 years.	Cryostorage vessels Logbooks (including maintenance records).
Discard / Incineration Information / Clinical waste autoclave form	Date of completion.	Minimum of 30 years.	
Equipment decontamination / sterilisation records	Date of completion.	Minimum of 40 years.	
Equipment Logbooks (including maintenance records)	10 years from retirement of equipment.	Lifetime of equipment plus 10 years.	
Freezer Logbooks (including maintenance records)	10 years from retirement of equipment.	Lifetime of equipment plus 10 years.	Freezer Logbooks (including maintenance records).
Frozen dried or other permanently preserved cultures	On preservation.	These should be retained permanently where archived in collections accessible for reference and research, such as those nationally or locally recognised.	The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).

Frozen tissue for immediate histological assessment (frozen section)	On receipt.	Stained microscope slide should be kept for a minimum of 10 years.	Pathological Records & Specimens (5th Edition, April 2015).
Frozen tissue or cells for histochemical or molecular genetic analysis	On receipt.	Keep for at least 10 years and preferably longer if storage facilities permit. This advice includes EBV-transformed and fibroblast cell lines. Retention for at least 3 months (longer if space permits) is recommend for cytogenetic cell suspensions in fixative.	The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Grids for electron microscopy	Once prepared.	Requirements in different specialities differ: a) Grids prepared for human tissue diagnosis (e.g. renal, muscle, nerve or tumour) should be kept for 10 years; preferably longer. Grids prepared for virus identification may be discarded 48 hours after the final report has been issued, provided that all derived images are retained and remain accessible for at least 30 years.	The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Haematology Films (Stem Cell Patients)	After final fate of product.	Minimum of 30 years from final fate of product.	
Hospital issues and return form	Issues and returns fully reconciled	Keep until issues and returns fully reconciled.	
Issue sheet paperwork		Keep until issues and returns fully reconciled.	
NSS transport request form	Date of completion.	Keep until request has been reconciled.	
Photographs	Date of completion.	Electronically stored and retained on network for minimum of 30 years.	
Procurement Records	After final fate of product.	Minimum of 30 years after final fate of product.	
Product Return Documentation	After final fate of product.	Minimum of 30 years after final fate of product.	
QC Test Reports / Records	Date of completion.	Minimum of 40 years.	
Raw material (consumables, reagents, test kits, cleaning agents) receipt records	Date of completion.	Minimum of 40 years.	
Recipient records	Date of completion.	Minimum of 30 years from date of clinical use.	
Records relating to storage of gametes or embryos		Records will be retained in accordance with the current HFEA General Directions 0012, which depending on the records and the circumstances, are up to for a period of at	

		least 50 years from the date on which information about the treatment was first recorded.	
Storage of material following analyses of nucleic acids	Upon receipt.	Developing technologies means that there is ever-increasing variety of hard copy and/or electronic outputs associated with the analysis and interpretation of diagnostic tests using nucleic acids. It is recommended that such outputs should be stored for at least 30 years unless the technical details and interpretation are transcribed into a permanently accessible report formats authorised by senior clinical laboratory staff or pathologists. The latter reports should then be kept for at least 30 years, as for other pathology reports, and the machine outputs may be regarded as working documents. For such working documents, storage for at least 10 years is recommended.	The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Surgical (histological) reports	Once generated.	30 years.	The Retention & Storage of Pathological Records & Specimens (5th Edition, April 2015).
Temperature monitoring logs (cryostorage)	Date of completion.	Minimum of 30 years.	
Temperature monitoring logs (cryostorage vessels)	Date of completion.	Minimum of 60 years.	Temperature monitoring logs (cryostorage vessels).
Transport form and associated temperature data	Date of completion.	Minimum of 30 years.	
TREND Snapshot Report	Date of completion.	3 years.	
Unmanned Environmental monitoring results	Date of final review.	10 years.	

Record Type	Retention Trigger	Retention Period	Citation / Notes
8. Practitioner Services Directorate (PSD)			
PSD Wide *(all other PSD wide activities are covered under the NSS Corporate, Finance or HR Annexes)*			
Quality Management System (QMS)			
Customer Survey results and reports		5 years.	
QMS Management Review minutes		5 years.	
Internal review reports / findings		5 years.	
QMS documented procedures		5 years.	
External review findings		5 years.	
Requests for Personal Information (Primary Contractor Data Only)			
Police, Office of the Public Guardian, Other Government Agencies etc		3 years.	
Strategy, Planning, Performance & Business Support			
BNF/Prescription Ordering			
BNF		6 years + current year.	
Prescription Stationery Ordering		6 years + current year.	
Senior Management			
Flash Reports		3 years.	
Strategic Planning including Workforce, Staffing Lists, Training Records		Permanent.	
Risk Management	Superseded.	5 years.	
iMatter Action Plans		Permanent.	
Minutes of Meetings		5 years.	
Contractor Finance			
Practitioner Services Wide			
Scottish Infected Blood Support Scheme (SIBSS)			
All Financial Information		Held indefinitely pending outcome of Public Inquiry.	
Transvaginal Mesh Fund			
Claim Forms		6 years + current year.	

All Financial Information		6 years + current year.	
Clinical Negligence Other Risk Indemnity Scheme (CNORIS)			
Claim Forms	Closure of file.	10 years.	- The activity associated with the management of clinical negligence scheme.
All Financial Information	Closure of file.	10 years.	- The activity associated with the management of clinical negligence scheme.
Payment Notification letters	Closure of file.	10 years.	- The activity associated with the management of clinical negligence scheme.
Dental & Ophthalmic Finance			
Payment/Financial Data		6 years + current year.	
Patient Refund Claim Forms (electronic)		6 years + current year.	
Dental Allowance Forms		6 years + current year.	
Patient Travel Re-imbursement Claims		6 years + current year.	
Bank Mandate Forms		Indefinitely while business in operation.	
Monthly Financial/Forecasting Reports (Form 12) to NHS Boards/Scottish Government		6 years + current year.	
RC1 / RC's Reports		6 years + current year.	
Dental Prior Approval / Clinical			
Data Storage for Dental and Ophthalmic prior approvals		11 years (to cover where appliances / prosthesis provided).	
Data Storage for Dental and Ophthalmic electronic supporting evidence		11 years.	
SDRS Patient Examination Clinical outcome reports		If patient <18 then till patient is 25 years old otherwise 6 years or 11 years.	
Dental Advisor/SDRS general correspondence		3 years.	
Dental & Ophthalmic Payment Verification			
Quarterly PV Reports to NHS		6 years + current year.	

Boards			
Practitioner Investigation case notes	Closure of case	10 years.	
Statistical/outlier data		6 years + current year.	
Referrals to Health Board		6 years + current year.	
Medical Finance			
Payment/Financial Data		6 years + current year.	
Vaccination Payments		6 years + current year.	
Service Claim Forms		2 years + current year.	
Claims for continuing allowances (e.g. Seniority)	Cessation of GP	2 years.	
Partnership Share, Bank Mandates etc	Cessation of GP	2 years.	
Account Element Forms		2 years + current year.	
GP Practice Lists		1 year.	
Financial Reports & Working Papers Provided to NHS Boards			
Regional Office Monthly Reports		3 years + current year.	
Medical Payment Verification			
PV Reports		6 years + current year.	
PV Protocol		6 years + current year.	
Outlier Analysis		6 years + current year.	
Recoveries		6 years + current year.	
Practice Visits		6 years + current year.	
Pharmacy Finance			
Payment/Financial Data		6 years + current year.	
Community Pharmacy Scotland (CPS) Error Schedules		6 years + current year.	
Financial Documentation and paperwork relating to Supplementary Payments and Adjustments – Dispensing Contractors		6 years + current year.	
Financial Documentation and paperwork supporting payments for prescriptions – Dispensing Contractors (e.g invoices)		6 years + current year.	

Financial Documentation and paperwork relating to payments for Health Board local services – Dispensing Contractors (Kaizen)		6 years + current year.	
Payment Schedules/eSchedules		6 years + current year.	
Notification and Amendments to Contractor Details		6 years + current year.	
Ad-hoc reports (PHS claim forms, reports from DCVP system, reports from PIS data warehouse)		6 years + current year.	
Ad-hoc reports (PHS claim forms, reports from DCVP system)		6 years + current year.	
Bank Mandates		Previous year + ongoing validation.	
Electronic claim for item re-imbursement		6 years + current year.	
Pharmacy Payment Verification			
Quarterly PV Reports to NHS Boards		6 years + current year.	
Investigations		6 years + current year.	
Analysis/Statistical Information		6 years + current year.	
Patient Letters		6 years + current year.	
Service Delivery			
Dental & Ophthalmic Customer Administration			
Adjustments form		2 years + current year.	
Non-payments		2 years + current year.	
e-Ophthalmic Users Set Up/ GOS 6As		2 years + current year.	
HES Claims		2 years + current year.	
Midas Letters		2 years + current year.	
MIDAS rejections		2 years + current year.	
Non Payments		2 years + current year.	
Optix Rejections		2 years + current year.	
Vitality Batches		6 years + current year.	
289 Folder		2 years + current year.	
Weekly KPIs		2 years + current year.	

General enquiries		2 years + current year.	
PDA's forms		2 years + current year.	
Form 287		2 years + current year.	
Form GP21a		2 years + current year.	
Form GP200		2 years + current year.	
Form GP208 / 209		2 years + current year.	
Dental & Ophthalmic Customer Helpdesk			
General correspondence		3 years.	
Midas and Optix Timetables		3 months.	
Dental & Ophthalmic email addresses		Indefinitely while operating.	
Unpaid claim requests		6 years + current year.	
Call Statistics		5 years.	
Dental Code of Connections		Indefinitely while operating.	
External Communications/Newsletters		3 years.	
Medical Registration			
Bulk transfers of patients		2 years + current year.	
Quarterly Counts		6 years + current year.	
General Correspondence (removal/assignment requests, urgent records requests etc)		2 years + current year.	
Data Quality exercises		When action is completed.	
Organ Donor Letter information		When action is completed.	
Medical – Medical Records			
Medical Records (including armed forces and prisoners)		Retain for the lifetime of the patient and for 3 years after their death.	- Where the patient does not come back to the practice and the records are not transferred to a new provider, the record must be retained for 100 years. If the patient comes back within 100 years, the retention reverts to 3 years after death.
Medical Records (paper and electronic) used for public inquiries		Retain for length of inquiry then revert to 100 years retention or 3 years after death.	
Application for duplicate Medical		2 years + current year.	

Card			
GP22 – Notification to a doctor of the removal of persons form the doctor's list, and applications for return of their medical records		2 years + current year.	
Pharmacy Processing			
Scanned Prescription Images		3 years.	
Paper prescriptions		3 months.	
Key From Paper Process		3 years.	
GP34 Declaration forms		6 months.	
Reporting letter		6 months.	
Access request for online reporting		2 years + current year.	
Access request for Visualisation of Prescription images		2 years + current year.	
Access request for Pharmacy Online Reporting		2 years + current year.	
Pharmacy registrations		Retain the paper for 3 months and hold the images for 3 years.	
Pharmacy Customer Helpdesk			
Access request for Pharmacy Online Reporting		2 years + current year.	
AMS PCT 31 day report		1 year.	
AMS Service Efficiency Percentage spreadsheet		1 year.	
Inactive GP Spreadsheet/emails		3 years.	
Weekly Top Calls		2 years.	
Pharmacy Contractor Amendments		3 years.	
GP Practice Amendments		3 years.	
General Helpdesk Emails		3 years.	
NHS Board IM&T Monthly Reports		1 year.	
IP Range Requests		3 years.	
Pharmacy Care Record Account Creations		3 years.	
NHS Board - Smoking Cessation		3 years.	

Errors			
Scottish Wide Area Network (SWAN) notifications/incidents and new connections		3 years.	

Record Type	Retention Trigger	Retention Period	Citation/ Notes
9. Procurement, Commissioning & Facilities			
Procurement			
Agreements, contracts and supporting correspondence and papers		6 years after the financial year to which they relate, or contract expires	
Approved suppliers' lists		10 years	
Delivery notes		2 years	
Indents		2 years after financial year referred to	
Invitations to tender		6 years after the financial year to which they relate.	- These transactions relate to 'one-off' purchases e.g. an item of equipment. Tenders relating to the creation of ongoing contracts are covered below.
Unaccepted tenders		3 years after the financial year to which they relate.	- These transactions relate to 'one-off' purchases e.g. an item of equipment. Tenders relating to the creation of ongoing contracts are covered below.
Tender Registers		6 years after the financial year to which they relate	
Supplier Correspondence		6 years after termination of agreement	
Purchase Orders		6 years after the financial year to which they relate	
Advice Notices		3 years after the financial year to which they relate	
Despatch Notices		3 years after the financial year to which they rate	
Medical equipment specifications – major items purchased		Permanent	

Medical Equipment – operating manuals		Operational lifetime of equipment	
Picking Tickets		3 years after the financial year to which they relate	
Procurement documentation		7 years	- One copy of each supplier response from short listed to tender and the contract itself.
Products – liability		11 years	
Requisitions		2 years after financial year referred to	
Stock control reports		2 years	
Stock Sheets – Year end		6 years after the financial year to which they relate	
Stock-take documents including Perpetual Inventory samples		3 years after the financial year to which they relate	
Stores transfers		3 years after the financial year to which the relate	
Stores – major (ledgers etc)		6 years	
Stores – minor (requisitions, issue notes, transfer vouchers, goods received books etc)		2 years	
Supplies records – minor (e.g. invitations to tender and inadmissible transfers, routine papers relating to catering and demands for furniture, equipment, stationery and other supplies)		2 years	
Contracts & Agreements			
Initial proposal – specification / user requirements	End of contract	6 years	
Initial proposal – Education criteria	End of contract	6 years	
Initial proposal – Invitation to tender	End of contract	6 years	
Initial proposal – Statements of	End of contract	1 year	

interest			
Tendering – Successful tenders	End of contract	6 years	
Tendering – Unsuccessful tenders	End of contract	1 year	
Tendering – Interview Panel notes and proceedings	End of contract	1 year	
Tendering – Commissioning letter / contracts	End of contract	6 years	
Contracts Operation – reports from contractors	End of contract	2 years	
Contracts Operation – Disputes	End of contract	6 years	
Contracts Operation – Final Accounts	End of contract	6 years	
Amendments to Contracts	End of contract	6 years	
Specialist & Screening Services			
External Policy records for Scotland on nationally commissioned specialist and screening services	Closure of file	Review 5 years or appraisal of permanent retention	
National Advisory Group Meeting Papers		Permanent	
National Advisory Group Meeting Minutes		Permanent	
Reports send to Ministers for action: Start up papers for services, Service review, Business cases		Permanent	
Screening Governance Meetings		Permanent	
Screening Programmes		10 years	
Health Facilities			
National Training Programme Presentations, database, records of staff training		5 years	
FMS (Facilities Management System)		Permanent	
UK Healthcare Estates and Facilities Group Agendas, minutes and general correspondence		5 years	
Advisory Groups Records		5 years	

▪ Strategic Facilities Group ▪ Scottish Facilities Management Advisory Group plus Sub-Groups ▪ Scottish Property Advisory Group plus Sub-Groups ▪ Scottish Engineering and Technology Advisory Group plus Sub-Groups (Agendas, minutes, papers, general correspondence and terms of reference)			
SGHD Joint Premises Review Group Records – Agendas, minutes, papers and general correspondence		2 years	
Cleaning Monitoring Tool Records		Permanent	
Catering Monitoring Tool Records		Permanent	
Publications ▪ UK Publication Meetings – agendas, minutes, papers, general correspondence, agreements Production Final Publications		2 years Permanent	
SCART, EMART		Permanent	
E-Library – records relating to the collaboration between HFS and NES. Communication plans, presentations, registration information		3 years	
BSRIA, BCIS – subscription information, usernames and passwords		1 year	
Asset Management System		Permanent	
Capital Planning System		Permanent	
NHSScotland Adverse Incidents involving medical, laboratory or estates equipment – IRIC defect investigations (adult/none injured)		IRIC Work Instruction (WI) states 6 years from closure of file (minimum	

		5 year legal requirement for adult patient records plus 1 year)	
NHSScotland Adverse Incidents – IRIC defect investigation files (safely warning issued)		WI states 10 years from closure of file (minimum 5 year legal requirement for adult patient records plus 5 years for IRIC purposes)	
NHSScotland Adverse Incidents – IRIC defect investigation files (child involved or fatal accident investigation)		WI states 25 years from closure of file (legal requirement to retain records until patient is 25 – FAIs retained for valuable information)	
Oxygen Concentrator Patient Files		10 years from closure of file	
Technical images on x-ray film		10 years from closure of file	
Images on x-ray whose results have paper copy		Destroy after one year	
Health Facilities – Decontamination			
Surgical Instruments Used in Acute Sectors & Reprocessing Carried Out in a Central Decontamination Unit			
Logbook for testing and maintenance decontamination equipment (e.g. sterilizer / washer disinfector / ultrasonic cleaner)		13 years (11 years product liability + 2 years for claims)	
Batch record of decontamination processes		13 years (11 years product liability + 2 years for claims)	
Environmental cleaning		13 years (11 years product liability + 2 years for claims)	
Purchase records for equipment, instruments etc.		13 years (11 years product liability + 2	

		years for claims)	
Training of decontamination staff		13 years (11 years product liability + 2 years for claims)	
Non-conformance record		13 years (11 years product liability + 2 years for claims)	
Document change record		13 years (11 years product liability + 2 years for claims)	
Medical devices and decontamination equipment specifications – major items purchased		13 years (11 years product liability + 2 years for claims)	
Medical devices and decontamination equipment – operating manuals and manufacturer instructions		13 years (11 years product liability + 2 years for claims)	
THERMOLABILE FLEXIBLE ENDOSCOPES & REPROCESSING CARRIED OUT IN AN ENDOSCOPE DECONTAMINATION UNIT			
Logbook for testing and maintenance		13 years (11 years product liability + 2 years for claims)	
Endoscope washer disinfectors		13 years (11 years product liability + 2 years for claims)	
Batch record of decontamination processes		13 years (11 years product liability + 2 years for claims)	
Environmental cleaning		13 years (11 years product liability + 2 years for claims)	
Purchase records for EWD, Endoscopes, accessories and other equipment e.g. water treatment		13 years (11 years product liability + 2 years for claims)	
Training of decontamination staff		13 years (11 years product liability + 2 years for claims)	

Non-conformance record		13 years (11 years product liability + 2 years for claims)	
Document change record		13 years (11 years product liability + 2 years for claims)	
Endoscope and EWD specifications – major items purchased		13 years (11 years product liability + 2 years for claims)	
Endoscope and EWD specifications – operating manuals and manufacturer instructions		13 years (11 years product liability + 2 years for claims)	
MEDICAL DEVICES USED IN PRIMARY CARE PRACTICES (e.g. GDP, GMP, PODIATRY etc.) & REPROCESSING CARRIED OUT IN A LOCAL DECONTAMINATION UNIT			
Logbook for testing and maintenance decontamination equipment (e.g. sterilizer / washer disinfector / ultrasonic cleaner)		13 years (11 years product liability + 2 years for claims)	
Batch record of decontamination processes		13 years (11 years product liability + 2 years for claims)	
Environmental cleaning		13 years (11 years product liability + 2 years for claims)	
Purchase records for equipment, instruments etc		13 years (11 years product liability + 2 years for claims)	
Training of decontamination staff		13 years (11 years product liability + 2 years for claims)	
Non-conformance record		13 years (11 years product liability + 2 years for claims)	
Document change record		13 years (11 years product liability + 2 years for claims)	

Medical devices and decontamination equipment specifications – major items purchased		13 years (11 years product liability + 2 years for claims)	
Medical devices and decontamination equipment – operating manuals and manufacturer instructions		13 years (11 years product liability + 2 years for claims)	
ARHAI SCOTLAND			
ARHAI COMMON SYSTEMS			
ARHAI Enquiry Log (This includes paper records from before system implementation and current database records)		6 years	
Electronic Communication of Surveillance in Scotland (ECOSS)		All data that is specified in the ECOSS Handbooks for pathogens of public health importance is to be held permanently in the ECOSS database. Other pathogen data not specified in the ECOSS Handbooks are not significant and can be deleted after 6 months	
Electronic Data Records Used for Data Entry		Destroyed 1 year after data entry and/or validation:	
ARHAI GENERAL			
Minutes and papers from corporate meetings i.e. SMT		Permanent	
Minutes and papers from steering group meetings involving stakeholders e.g. CPHM, RLWG, HPN etc		Permanent	

Minutes and papers from internal groups e.g. Operational Management Meeting, Group and Team Meetings etc		5 years	
Records of Incidents and Outbreaks		Permanent	
Reports and Publications issued by ARHAI		Permanent	
Guidance		Permanent	
Comments by ARHAI on consultation documents		6 years	
SLAs, Change Control Notes, MOUs, Research Agreement, and other agreements, contracts, and supporting correspondence and papers		6 years after end of agreement	