

Good Management, Good Records (GMGR)

Disposal Schedule

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A. Work Area - Accident / Incidents / Untoward Events

- [A1](#) Accident Register
- [A2](#) Adverse Incidents
- [A3](#) Emergency Plans /Major Incident Plans/business continuity plans
- [A4](#) Homicide/'serious adverse incident' records
- [A5](#) Record sheets/book, Forms, Reports
- [A6](#) Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) Register
- [A7](#) Road Schemes/Road closures

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
A1	Accident Register	10 Years (see also A2)		PRONI Appraisal
A2	Adverse Incidents	10 years normal review process	SECCOR-85-2010	PRONI Appraisal
		Where the adverse incident relates to blood the records should be kept for 15 years.	Blood Safety and Quality Regulations (BSQR) 2005 http://www.legislation.gov.uk/uksi/2005/50/contents/made http://www.legislation.gov.uk/uksi/2005/1098/contents/made http://www.legislation.gov.uk/uksi/2005/2898/contents/made	PRONI Appraisal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
		Where the adverse incident refers to organ donation through to transplantation see G92	https://www.hta.gov.uk/faqs/organ-donation-and-transplant-faqs http://www.legislation.gov.uk/ukxi/2007/1523/pdfs/ukxi_20071523_en.pdf	PRONI Appraisal
		Where the incident has resulted in litigation the records relating to the litigation should be managed as per GMGR Section 11 .		PRONI Appraisal
		Where the incident has resulted in any form of disciplinary proceedings the personnel records should be managed as per GMGR Section 13 . Independent contractors should seek their own legal advice.		PRONI Appraisal
		Northern Ireland Adverse Incident Centre (NIAIC) Adverse Incident Investigation/advice and guidance – 10 years after closure of investigation/ issue of advice or guidance		PRONI Appraisal
A3	Emergency Plans /Major Incident Plans/business continuity plans	8 years after the plan is superseded or where it has been put into action 8 years after the event.		PRONI Appraisal
	Debrief and follow up records associated with an incident	8 years		
A4	Homicide/'serious adverse incident' records	20 years		PRONI Appraisal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
A5	Record sheets/book, Forms, Reports Where litigation has commenced	10 years from the occurrence or last entry or until the patient's 25 th birthday whichever is the later. (see also A2) Where a legal action has commenced, records should be managed as per GMGR Section 11 .		Destroy PRONI Appraisal
A6	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) Register	3 years from the occurrence.	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (Northern Ireland) 1997	Destroy
A7	Road Schemes/Road closures	Until the road closure or scheme ends		Destroy

B. Work Area – Complaints

B1 Complaints investigated under the Representations Procedure (Children) Regulations (Northern Ireland) 1996 in respect of:

- A looked after child
- A Child in need
- Child Protection

B2 Correspondence, investigation and outcomes

B3 Enquiries which do not give rise to formal complaints

B4 Returns made to the Department
(CH8 statistics)

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
B1	Complaints investigated under the Representations Procedure (Children) Regulations (Northern Ireland) 1996 in respect of:	These records are the records relating to the investigation of the complaint which should be kept separate from the case record. The case record should however contain a note that a complaint under the regulations was made, a broad outline of the nature of the complaint, its outcome, and the location of the investigation records.	Representations Procedure (Children) Regulations (Northern Ireland) 1996	PRONI Appraisal
	A looked after child	75 years from date of birth of the child to whom it relates or, 15 years after death of child if child dies before attaining the age of 18.	Representations Procedure (Children) Regulations (Northern Ireland) 1996	PRONI Appraisal
	A Child in Need	20 years after closure of case.	Representations Procedure (Children) Regulations (Northern Ireland) 1996	PRONI Appraisal
	Child Protection	75 years after closure or 15 years after death of child if child dies before attaining the age of 18.	Representations Procedure (Children) Regulations (Northern Ireland) 1996	PRONI Appraisal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
B2	Correspondence, investigation and outcomes	<p>Review 10 years from completion of the action. Files should be reviewed in accordance with the principles in part 1.</p> <p>No less than 15 years for complaints dealt with under the Residential Family Centres Regulations (Northern Ireland) 2007</p> <p>Where the complaint has resulted in litigation the records relating to the litigation should be managed as per GMGR Section L11.</p> <p>Where the complaint has resulted in any form of disciplinary proceedings the personnel records should be managed as per GMGR Section L13.</p> <p>Where more than one retention period applies the longest of them should be used.</p>	<p>Records Management: Retention Scheduling</p> <p>Residential Family Centres Regulations (Northern Ireland) 2007</p>	PRONI Appraisal
B3	Enquiries which do not give rise to formal complaints	3 years (see also GMGR Section J13)	Records Management Retention Scheduling – Complaints Records	Destroy
B4	Returns made to the Department (CH8 statistics)	See GMGR Section Q1 .		Destroy

C. Work Area - Contracts / Service Level Agreements

- [C1](#) Approval files (contracts)
- [C2](#) Approved suppliers lists
- [C3](#) Contracts – non sealed
- [C4](#) Contracts (including capital works contracts) – sealed (and associated records)
- [C5](#) Contractual arrangements with hospitals or other bodies outside the HSC including papers relating to financial settlements made under the contract
- [C6](#) Contract operation and monitoring
- [C7](#) Contractor Applications to provide general practitioner, Dental, Ophthalmic & Pharmaceutical services
- [C8](#) Contractor Records
 - Ophthalmic Opticians
 - Dentists
 - Pharmacists, Pharmacy Premises
 - General Practitioners
- [C9](#) Contractors on – Call Rotas managed by HSCB
- [C10](#) Financial Approval files
- [C11](#) GP retirements/moved away
- [C12](#) Tenders
 - Successful
 - Unsuccessful

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
C1	Approval files (contracts)	6 years after end of the year the contract expired/terminated		Destroy
C2	Approved suppliers lists	An active document updated regularly - 11 years following each update	Consumer Protection (Northern Ireland) Order 1987 Where the records are potentially relevant to the issue of proceedings by an organisation legislation requires retention of 10 years. However an extra year has been added to allow time for any proceedings to be served against an organisation.	Destroy
C3	Contracts – non sealed	6 years from date of practical completion or termination/expiration of the contract whichever is longer	The Limitation (Northern Ireland) Order 1989	Destroy
C4	Contracts (including capital works contracts) – sealed (and associated records)	Contracts under seal and associated records should be kept for a minimum of 15 years after the issue of the certificate of making good defects. When they reach 15 years old they should be reviewed and PRONI invited to examine them.		PRONI Appraisal
C5	Contractual arrangements with hospitals or other bodies outside the HSC including papers relating to financial settlements made under the contract	6 years after end of financial year to which they relate		Destroy
C6	Contract operation and monitoring	Records should be maintained for the same length of time as the contract (see C3-4)		Destroy
C7	Contractor Applications to provide general practitioner, Dental, Ophthalmic & Pharmaceutical	6 years after termination/expiration of the contract for approvals		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	services	6 years for non-approvals.		
C8	Contractor Records			
	Ophthalmic Opticians	See GMGR Section G79-80		Destroy
	Dentists	See GMGR Section G31 - G35		Destroy
	Pharmacists, Pharmacy Premises	See GMGR Section M		Destroy
	General Practitioners	See GMGR Section G50		Destroy
C9	Contractors On – Call Rotas managed by HSCB	6 years		Destroy
C10	Financial Approval files	15 years		PRONI Appraisal
C11	GP retirements/moved away	6 years after individual leaves service, at which time a summary of the file must be kept until the individual's 70th birthday or 6 years after the individual leaves the service whichever is the longer		Destroy
C12	Tenders			
	successful	Tender period plus 6 year limitation period	The Limitation (Northern Ireland) Order 1989	Destroy
	unsuccessful	6 years after the end of the financial year to which they relate (7 years)	The Limitation (Northern Ireland) Order 1989	Destroy

D. Work Area – Equipment

- [D1](#) Daily checking of Crash Trolleys
- [D2](#) Forms – Surgical Appliances – AP1, 2, 3 and 4
- [D3](#) Internal requests for supplies equipment.
- [D4](#) Inventories (not in current use) of items having a life of less than 5 years
- [D5](#) Inventories of plant, vehicles and permanent or fixed equipment
- [D6](#) Inventories of furniture, medical and surgical equipment not held on store charge having a minimum of life of 5 years
- [D7](#) Medical device/equipment alerts
- [D8](#) Personal Protective Equipment
- [D9](#) Records of equipment/instruments (fixed and un-fixed) including installation, specification, maintenance records and logs, records of service inspections, test records, Calibration Certificates, products liability, procurement, use, modification and supply records relevant to production of products (diagnostics) or equipment, and disposal records.
- [D10](#) Records relating to the security of the systems (see also GMGR Section H5) and (GMGR Section J48 security of the records)
- [D11](#) Vehicles - Records relating to the purchase, maintenance, fuel logs, movement records, servicing, insurance and disposal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
D1	Daily checking of Crash Trolleys	<p>This is a check for accounting purposes, only current and previous record require to be held.</p> <p>If a record of equipment used in treatment, it may need to be kept for 11 years in line with period for litigation. (see GMGR Section D9)</p> <p>If check shows action required this needs to be recorded and kept for 11 years as above.</p>		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
D2	Forms – Surgical Appliances – AP1, 2, 3 and 4	5 years from completion of audit (see also GMGR Section G21)		Destroy
D3	Internal requests for supplies equipment.	Once approved the record will either fall into a buying order, inventory, delivery notice or approval file. The records should be placed in the appropriate file and retained for the appropriate period defined in GMGR. Administrative records not appropriate for other files - retain for the current year plus 1 year.		Destroy
D4	Inventories (not in current use) of items having a life of less than 5 years	1½ years or if in book form 1½ years after the last entry		Destroy
D5	Inventories of plant, vehicles and permanent or fixed equipment	Permanent		Retain permanently within organisation
D6	Inventories of furniture, medical and surgical equipment not held on store charge having a minimum of life of 5 years	Until revised and replaced		Destroy
D7	Medical device/equipment alerts	Until reviewed or withdrawn by Northern Ireland Adverse Incident Advice Centre (NIAIC) (check MHRA website)	www.mhra.gov.uk	Destroy
D8	Personal Protective Equipment	See L43		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
D9	Records of equipment/instruments (fixed and un-fixed) including installation, specification, maintenance records and logs, records of service inspections, test records, Calibration Certificates, products liability, procurement, use, modification and supply records relevant to production of products (diagnostics) or equipment, and disposal records.	Lifetime of the equipment plus 11 years	Consumer Protection (Northern Ireland) Order 1987 Where the records are potentially relevant to the issue of proceedings by an organisation legislation requires retention of 10 years. However an extra year has been added to allow time for any proceedings to be served. against an organisation.	Destroy
D10	Records relating to the security of the systems (see also GMGR Section H5) and (GMGR Section J48 security of the records)	Decommissioning of the system plus 5 years	Approved Disposal Schedules https://www.bangor.ac.uk/planning/policy-register/documents/information-security-policy.pdf https://www.bangor.ac.uk/planning/UniRetSch ed.php	Destroy
D11	Vehicles Records relating to the purchase, maintenance, fuel logs, movement records, servicing, insurance and disposal.	Retain for the lifetime of the vehicle plus one year post disposal		Destroy

E. Work Area – Estates

E1 Biomedical Engineering

- Sterilix Endoscopic Disinfector daily water cycle test
- Sterilix Endoscopic Disinfector daily water purge test, nynhydrin test

E2 Buildings and engineering works, inclusive of major projects abandoned or deferred – key records, related to planning, construction and design (e.g. final accounts, surveys, site plans, bills of quantities).

E3 Buildings and engineering works, inclusive of major projects abandoned or deferred – town and country planning matters and all formal contract documents relating to post completion of the construction(e.g. executed agreements, conditions of contract, specifications, “as built” record drawings and documents on the appointment and conditions of engagement of private buildings and engineering consultants).

E4 Buildings – papers relating to occupation (but not Health and Safety information) of the building

E5 Carbon Reduction Scheme (CRS)

- Records relating to the organisation’s first Footprint Report
- Records relating to the organisation’s first Annual Report
- Records of what determined your position in the Performance League Table for the first year of the CRS s in which you take part.
- All other records

E6 Deeds of Title/Title Deeds

E7 Environmental Cleanliness Audits

E8 Fire training records

E9 Fire Officers Register

E10 Fire Safety Assessment

E11 Health and Safety Audits

E12 Inspection/Insurance reports – e.g. boilers, lifts etc.

- [E13](#) Land surveys/registers
- [E14](#) Leases, the grant of leases, easements, licences and other rights over property. Leasing a property from another owner
- [E15](#) Maintenance contracts - routine
- [E16](#) Maintenance requisition books/job dockets
- [E17](#) Manuals operating/maintenance
- [E18](#) Maps
- [E19](#) Plans
 - Building (as built),
 - Drawings (architect signed not copies)
 - Engineering works
- [E20](#) Property Acquisition Dossiers
- [E21](#) Property Disposal Dossiers
- [E22](#) Records relating to the security of the estate (see also GMGR Section D10) and (GMGR Section J48 security of the records)
- [E23](#) Refrigerator temperature records
- [E24](#) Site files
- [E25](#) Specifications (e.g. equipment, services)
- [E26](#) Structure plans (organisational charts) i.e. the structure of the building plans
- [E27](#) Surveys – building and engineering works
- [E28](#) Security Control Systems

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
E1	Biomedical Engineering Sterilix Endoscopic Disinfector daily water cycle test Sterilix Endoscopic Disinfector daily water purge test, nynhydrin test	11 years	Consumer Protection (Northern Ireland) Order 1987 Where the records are potentially relevant to the issue of proceedings by an organisation legislation requires retention of 10 years. However an extra year has been added to allow time for any proceedings to be served. against an organisation,	Destroy
E2	Buildings and engineering works, inclusive of major projects abandoned or deferred – key records, related to planning, construction and design (e.g. final accounts, surveys, site plans, bills of quantities).	30 years		PRONI Appraisal
E3	Buildings and engineering works, inclusive of major projects abandoned or deferred – town and country planning matters and all formal contract documents relating to post completion of the construction(e.g. executed agreements, conditions of contract, specifications, “as built” record drawings and documents on the appointment and conditions of engagement of private buildings and engineering consultants).	Retain permanently		Retain permanently within organisation
E4	Buildings – papers relating to occupation (but not Health and Safety information) of the building	Review 3 years after occupation ceases		PRONI Appraisal
E5	Carbon Reduction Scheme (CRS)			

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	<p>Records relating to the organisation's first Footprint Report</p> <p>Records relating to the organisation's first Annual Report</p> <p>Records of what determined your position in the Performance League Table for the first year of the CRS s in which you take part.</p> <p>All other records</p>	<p>Retain for the whole time you are part of the Carbon Reduction Scheme</p> <p>Retain for the whole time you are part of the Carbon Reduction Scheme</p> <p>Retain for the whole time you are part of the Carbon Reduction Scheme</p> <p>Papers must be held for 7 years after the end of the Phase to which they relate.</p>	<p>https://crc.environment-agency.gov.uk/crcregistry/web/login?execution=e1s1</p>	Destroy
E6	Deeds of Title/Title Deeds	<p>Permanent Retain while the organisation has ownership of the building unless a Land Registry certificate has been issued, in which case the deeds should be placed in an archive.</p> <p>If there is no Land Registry certificate, the deeds should pass on with the sale of the building.</p>		Retain permanently within organisation
E7	Environmental Cleanliness Audits	10 years		Destroy
E8	Fire training records	see J58	Fire Safety Regulations (Northern Ireland) 2010 Article 20	Destroy
E9	Fire Officers Register	5 years	Fire Safety Regulations (Northern Ireland) 2010	Destroy
E10	Fire Safety Assessment	5 years	The Fire and Rescue Services (Northern Ireland) Order 2006,	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
			Part III, Chapter 1, Article 25	
E11	Health and Safety Audits Display Screen Equipment Assessments Health and Safety information / documentation	10 years 5 years Until cancelled or superseded	Health and Safety (Display Screen Equipment) Regulations (NI) 1992 Health and Safety (Miscellaneous Amendments) Regulations (NI) 2003	Destroy
E12	Inspection/Insurance reports – e.g. boilers, lifts etc	Lifetime of an installation. Normally retain for the lifetime of an installation. However, it is necessary to assess whether obligations incurred during the lifetime may not be invoked until afterwards, in which case a judgement must be made. If there is any measurable risk of a liability in respect of installation beyond their operational lives, records of this kind should be retained indefinitely.		Destroy
E13	Land surveys/registers	30 years		Destroy
E14	Leases, the grant of leases, easements, licences and other rights over property.	Retain for the lifetime of the ownership of any right over the property	The Limitation (Northern Ireland) Order 1989	Destroy
	Leasing a property from another owner	12 years after the lease expires	The Limitation (Northern Ireland) Order 1989	Destroy
E15	Maintenance contracts - routine	6 years from end of contract		Destroy
E16	Maintenance requisition books/job docketts	6 years after last entry in the book		Destroy
E17	Manuals operating/maintenance	Lifetime of equipment		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
E18	Maps	Retain permanently		Permanent Preservation within the Organisation.
E19	Plans Building (as built), Drawings (architect signed not copies) Engineering works	Lifetime of Building		PRONI Appraisal
E20	Property Acquisition Dossiers	Retain for the lifetime of ownership of the property		PRONI Appraisal
E21	Property Disposal Dossiers	30 years		PRONI Appraisal
E22	Records relating to the security of the estate (see also GMGR Section D10) and (GMGR Section J48 security of the records)	5 years		Destroy
E23	Refrigerator temperature records	5 years		Destroy
E24	Site files	Lifetime of site		Destroy
E25	Specifications (e.g. equipment, services)	6 years		PRONI Appraisal
E26	Structure plans (organisational charts) i.e. the structure of the building plans	Lifetime of Building – then review		PRONI Appraisal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
E27	Surveys – building and engineering works	Lifetime of building or installation		Destroy
E28	Security Control Systems	6 months	The DPA does not prescribe any specific minimum or maximum retention periods which apply to all systems or footage. Retention should reflect the organisation's purposes for recording information. The retention period should be informed by the purpose for which the information is collected and how long it is needed to achieve this purpose. It should not be kept for longer than is necessary, and should be the shortest period necessary to serve your own purpose. ¹	Destroy
	Access Control Swipecard System	6 months	The DPA does not prescribe any specific minimum or maximum retention periods which apply to all systems or footage. Retention should reflect the organisation's purposes for recording information. The retention period should be informed by the purpose for which the information is collected and how long it is needed to achieve this purpose. It should not be kept for longer than is necessary, and should be the shortest period necessary to serve your own purpose ² .	Destroy
	Close Circuit TV Images See also N?? for NIFRS	The DPA does not prescribe any specific minimum or maximum retention periods which apply to all systems or footage. Retention should reflect the organisation's purposes for recording information. The retention period should be informed by the purpose for which the information is collected and how long it is needed to achieve this purpose. It should not be kept for longer	Information Commissioner's Code of Conduct https://ico.org.uk/media/for-organisations/documents/1542/cctv-code-of-practice.pdf	Destroy Erase permanently

¹ Paragraph 5.2.5 –The Information Commissioners “ A Data Protection Code of Practice for Surveillance Cameras and Personal Information”

² Paragraph 5.2.5 –The Information Commissioners “ A Data Protection Code of Practice for Surveillance Cameras and Personal Information”

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
		than is necessary, and should be the shortest period necessary to serve your own purpose ³ .		
	Reception desk Rotas / Security Rotas	3 years		Destroy
	Visitors / Contractors Books (other than those specifically required by legislation)	3 years	National Archives - Retention Scheduling Press and Public Relations Records	PRONI Appraisal

³ Paragraph 5.2.5 –The Information Commissioners “ A Data Protection Code of Practice for Surveillance Cameras and Personal Information”

F. Work Area - Finance

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

[F1](#) Accounts

- Minor Records
- Working Papers
- Debtors records – cleared
- Debtors records – uncleared
- Cost Accounts

[F2](#) Advice notes

[F3](#) Annual Accounts

[F4](#) Asset Management

- Asset registers assets/equipment registers, records
- Depreciation registers – records relating to the calculation of annual depreciation
- Department's records in relation to the full disposal of a legal interest in a property asset

[F5](#) Audit records

[F6](#) Audit reports

[F7](#) Benefactions/Endowments/Trust Fund

[F8](#) Bills, receipts and cleared cheques

[F9](#) Business Case Documentation

[F10](#) Budgets

[F11](#) Buying orders for Goods and Services

[F12](#) Capital Charges Data

[F13](#) Capital Paid Invoices

[F14](#) Cash Books

[F15](#) Cash Sheets

[F16](#) Clients Financial Records

- Documents relating to the Trust Management of the finances of individuals admitted to residential or nursing homes or their own home
- Deeds and Correspondence relating to the transfer of property, the purchase disposal and leasing of property and the acquisition, transfer and disposal of mortgages.
- Correspondence with legal department and solicitors

[F17](#) Creditor payments

[F18](#) Delivery notes

[F19](#) Demand notes

[F20](#) Estimates including supporting calculations and statistics

[F21](#) Expense claims including travel and subsistence claims and authorisation

[F22](#) Excess Fares

[F23](#) Finance Statements

- Statements /summaries /reconciliations prepared for inclusion in quarterly/annual reports
- Periodic financial statements prepared for management on a regular basis
- Adhoc statements

[F24](#) Formula records for calculating employee variation of hours

[F25](#) Fraud

[F26](#) Funding data

[F27](#) General Medical Services payments

[F28](#) Income and expenditure journals

[F29](#) Invoices

[F30](#) Ledger Records

- including such documents as ledgers, income and expenditure journals, nominal rolls

[F31](#) Monitoring of Financial records

[F32](#) Mortgage documents (acquisition, transfer and disposal)

[F33](#) Non-exchequer funds records

- funding received by the organisation that does not directly relate to patient care e.g. charitable funds

[F34](#) Patient Monies (i.e. smaller sums of donated money)

[F35](#) PAYE records

[F36](#) Payments

[F37](#) Primary Care HSC Prescriptions received by the BSO

[F38](#) Private Finance Initiative (PFI)

[F39](#) Procurement of Consultants

[F40](#) Receipt for registered and recorded delivery mail

[F41](#) Receipts

[F42](#) Requisitions

[F43](#) VAT records

[F44](#) Value for money (VFM)

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

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

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

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

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
F13	Capital Paid Invoices	6 years following the end of the financial year to which they relate (7 years)	The Limitation (Northern Ireland) Order 1989	Destroy
F14	Cash Books	6 years following the end of the financial year to which they relate (7 years)	The Limitation (Northern Ireland) Order 1989	Destroy
F15	Cash Sheets	6 years following the end of the financial year to which they relate (7 years)	The Limitation (Northern Ireland) Order 1989	Destroy
F16	Clients Financial Records			
	Documents relating to the Trust Management of the finances of individuals admitted to residential or nursing homes or their own home.	6 years following the settlement of the accounts to which they relate (7 years)		Destroy
	Deeds and Correspondence relating to the transfer of property, the purchase disposal and leasing of property and the acquisition, transfer and disposal of mortgages.	See GMGR Section F32 and retain as advised by legal advisor		PRONI Appraisal
	Correspondence with legal department and solicitors	It should be noted that financial records are usually held for 6 years after the close of the financial year to which they relate. As all the bills are cleared and the remaining monies paid back to the family or solicitor after the client's death, it would be wise to retain all financial records for 6 years after that date.		Destroy
F17	Creditor payments	6 years following the end of financial year to which they relate		Destroy
F18	Delivery notes	2 years following the end of the financial year to which they relate		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
F19	Demand notes	6 years following the end of the financial year to which they relate		Destroy
F20	Estimates including supporting calculations and statistics	3 years following the end of the financial year to which they relate		Destroy
F21	Expense claims including travel and subsistence claims – claims and authorisation	6 years following the end of the financial year to which they relate		Destroy
F22	Excess Fares	6 years after payment ceases		Destroy
F23	Finance Statements			
	Statements /summaries /reconciliations prepared for inclusion in quarterly/annual reports	6 years following the end of the financial year to which they relate	http://www.nationalarchives.gov.uk/documents/information-management/sched_accounting.pdf	Destroy
	Periodic financial statements prepared for management on a regular basis	Destroy when cumulated into quarterly/annual reports	http://www.nationalarchives.gov.uk/documents/information-management/sched_accounting.pdf	Destroy
	Adhoc statements	1 year	http://www.nationalarchives.gov.uk/documents/information-management/sched_accounting.pdf	Destroy
F24	Formula records for calculating employee variation of hours	1 year after entry		Destroy
F25	Fraud Report and papers used in the course of a Fraud investigation – theft, fraud, misappropriation irrecoverable debts and overpayments, write – offs. Recovery of debt, wavering of debt.	10 years after the action/investigation is completed	Addendum to DAO (DFP) 08/07	PRONI Appraisal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
F26	Funding data (including monitoring)	<p>6 years following the end of the financial year to which they relate</p> <p>Any records pertaining to European Union(EU) funding must, by EC Regulation, be retained for at least seven years after EU Programme spend has been completed. The EU Programme Managing Authority may set different retention periods for the retention of an audit trail to support all expenditure included in the programme. Where this is the case retain for the specified period or seven years following the end of the financial year to which they relate, whichever is the longer.</p>		Destroy
F27	General Medical Services payments	6 years after year end		Destroy
F28	Income and expenditure journals	6 years following the end of the financial year to which they relate		Destroy
F29	Invoices	6 years following the end of the financial year to which they relate	The Limitation (Northern Ireland) Order 1989	Destroy
F30	Ledger Records: including such documents as ledgers, income and expenditure journals, and nominal rolls.	6 years following the end of the last financial year to which they relate		Destroy
F31	Monitoring of Financial records	6 years following the end of the last financial year to which they relate		Destroy
F32	Mortgage documents (acquisition, transfer and disposal)	6 years after repayment		PRONI Appraisal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
F33	Non-exchequer funds records (i.e. funding received by the organisation that does not directly relate to patient care e.g. charitable funds)	6 years from the end of the financial year in which they are made	Part 8 of the Charities Act (Northern Ireland) 2008	Although technically exempt from the Public Records Act, it would be appropriate for authorities to treat these records as if they were not exempt. Destroy
F34	Patient Monies (i.e. smaller sums of donated money)	6 years		Destroy
F35	PAYE records	6 years after termination of employment		Destroy
F36	Payments	6 years after the end of the financial year to which they relate		Destroy
F37	Primary Care HSC Prescriptions received by the BSO	6 years		Destroy
F38	Private Finance Initiative (PFI)	30 years		PRONI Appraisal
F39	Procurement of Consultants	6 years after the end of the financial year (following closure of last part)	The National Archives – Records Management retention scheduling Accounting Records	Destroy
F40	Receipt for registered and recorded delivery mail	see GMGR Section F1		Destroy
F41	Receipts	6 years after end of financial year to which they relate	The Limitation (Northern Ireland) Order 1989	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
F42	Requisitions	2 years (organisations may wish to review before destruction)		Destroy
F43	VAT records	6 years following the end of the financial year to which they relate		Destroy
F44	Value for money (VFM)			
	Reports created or instigated internally in the organisation.	6 years following the end of the tax year to which the papers relate		PRONI Appraisal
	Reporting on financial exercises, reviews monitoring.	6 years following the end of the tax year to which the papers relate		PRONI Appraisal

G. Work Area - Health Acute and Community

[G1](#) Abortion

[G2](#) Accident and Emergency

- A&E records (where these are stored separately from the main patient record)
- Accident and Emergency Registers

[G3](#) Admission Books

[G4](#) Adult Patient/Client Clinical/Medical Case Records (not covered by any other speciality)

[G5](#) Allied Health Professional Records

[G6](#) Ambulance records

- patient identifiable component (including paramedic records made on behalf of the Ambulance Service)

[G7](#) Angiography tapes and disks

[G8](#) Asylum seekers and refugees

[G9](#) Audio tapes of calls requesting care/help

- 999 calls
- Calls to Northern Ireland Ambulance Service
- Calls to Northern Ireland Fire and Rescue Service
- GP Out of Hours
- Recorded conversation

[G10](#) Audiology records

[G11](#) Birth Notification (to Child Health Department)

[G12](#) Birth notification sheets

[G13](#) Birth registers (i.e. register of births kept by the hospital)

[G14](#) Body Release Forms maintained as part of the patient record

[G15](#) Cervical screening slides

[G16](#) Chaplaincy records

- Baptismal, Blessing, naming records, memorial cards / books

[G17](#) Child and family guidance

[G18](#) Child Health Records

- notification of Visitors/New Entrants either from abroad, or from within the UK from Airports, the Home Office Immigration Centre and the Housing Executive

[G19](#) Child Health System – Electronic system record

[G20](#) Children and Young people (Health Records)

- school health records but see GMGR Section G76 for children's oncology records

[G21](#) Clinical audit records

[G22](#) Clinical Protocol (GP, in-house)

[G23](#) Clinical psychology

[G24](#) Consent Forms

[G25](#) Contraception and sexual health records

[G26](#) Crash Trolleys – record that a check on the trolley has been completed and any subsequent action

[G27](#) Death Registers (i.e. register of deaths kept by the hospital)

[G28](#) Death Certificate Stubs

- Death Certificate created within the Northern Ireland Electronic Care Record

[G29](#) Discharge books (i.e. register of those discharged by the hospital)

[G30](#) DNA

- health records for patients who **did not attend** for appointments as out-patients

[G31](#) Dental and orthodontic records (see GMGR Section G99 - G102 for X-Rays)

- Community Dental Service
- Hospital Dental Records

[G32](#) Dental records of a serving prisoner

[G33](#) General Dental Services Patient records

[G34](#) Orthodontic Records

[G35](#) Dental and Epidemiological surveys

[G36](#) De-registered patients records

[G37](#) Diagnostic Image Data

- for diagnostic imaging undertaken in the private sector under contract to the HSC or private providers treating patients on behalf of the HSC).

[G38](#) District nursing records

[G39](#) Discharge nursing team assessments of patients' homes and nursing homes.

[G40](#) Donor Breast Milk Bank

- Donor Milk Batch
- Donor Milk used

[G41](#) Drug trials, records

[G42](#) Duplicate patient record notification forms

[G43](#) Electronic Patient Clinical Records System (including the Audit Trails) developed prior to 2013

- Electronic Patient Clinical Records System (including the Audit Trails) developed since 2013

[G44](#) Electrocardiogram (ECG) Records

[G45](#) Endoscopy Records (including)

- Sterilix Endoscopic Disinfector Traceability Strips, Traceability Stickers for PEG/Stents (Endoscopy)

[G46](#) Family Planning (also contraception and sexual health records)

[G47](#) Forensic medicine records

- (including pathology, toxicology, haematology, dentistry, DNA testing, post mortems forming part of the Coroner's report, and human tissue kept as part of the forensic record)
- See also Human tissue see GMGR Section G56, Post mortem reports see GMGR Section K.

[G48](#) Genetic records

[G49](#) Genito Urinary Medicine (GUM) includes sexual health records

[G50](#) GP Medical Records

- GP Medical Records - Maternity records
- GP Medical Records - Records relating to persons receiving treatment for a mental disorder within the meaning of the Mental Health (Northern Ireland) Order 1986
- GP Medical Records, relating to HM Armed Forces. This refers to GP records of serving military personnel that were in existence prior to them enlisting
- GP Medical Records, relating to HM Armed Forces. This refers to GP records of serving military personnel that were in existence prior to them enlisting and held by HSCB
- GP Electronic Patient Record including those serving a period of imprisonment and Out of Hours Services
- GP Medical Records of those serving a prison sentence of more than 2 years, in existence prior to their imprisonment

[G51](#) Handover Records (e.g. Ward) - Prison Health 24HR Nursing Handover Report

[G52](#) Health Visitor / School Health Records

- These are Nursing Records and relevant Safeguarding and Looked After Children Information will be contained within Social Worker record

[G53](#) Hospice Care

- e.g. Example Macmillan, Marie Curie, NI Hospice, The Palliative and End of Life Care patient records– community and acute

[G54](#) Hospital acquired infection records

[G55](#) Human fertilisation records, including embryology records

[G56](#) Human tissue (within the meaning of the Human Tissue Act 2004)

[G57](#) Immunisation and vaccination records

[G58](#) Intensive Care Unit charts

[G59](#) Joint replacement records

[G60](#) Learning difficulties - Specific Learning Difficulty

[G61](#) Learning Disabilities - A general learning disability

[G62](#) Maternity

- all obstetric and midwifery records including those of episodes of maternity care that end in still birth or where the child later dies

[G63](#) Mammography screening

- Mammograms & Reports
- Research cases
- Age Trial Cases
- Deaths

[G64](#) Medical illustrations

[G65](#) Medical Records of those serving a period of imprisonment

[G66](#) Mental Health Records

- Mentally disordered persons (within the meaning of the Mental Health (Northern Ireland) Order 1986)
- Mental Health Records – Child & Adolescent (includes clinical psychology records) not listed elsewhere in this schedule

[G67](#) Microfilm/microfiche records relating to patient care

[G68](#) Midwifery records

[G69](#) Mortuary registers (where they exist in paper format)

[G70](#) Music therapy records

[G71](#) Neonatal screening records

[G72](#) Nicotine Replacement Therapy

[G73](#) Northern Ireland Electronic Care Record (NIECR)

[G74](#) Notifiable diseases

[G75](#) Occupationally Related Diseases (e.g. asbestosis, pneumoconiosis and byssinosis)

[G76](#) Oncology

- All records where the patient has had treatment for oncology, otherwise retain the records as per the appropriate classification
- Paediatric oncology Records where condition was diagnosed prior to the 18th birthday
- All other Oncology Records

[G77](#) Operating Theatre Lists

[G78](#) Operating Theatre Registers

[G79](#) Ophthalmic Screening and General Ophthalmic Services (GOS)

[G80](#) Orthoptic records

[G81](#) Out-patient lists

[G82](#) Paediatric records

[G83](#) Parent-held records

- records for sick/ ill children being cared for at home by community teams NOT the records of new born children

[G84](#) Patient Group Directions

[G85](#) Patient-held records

[G86](#) Patients involved in clinical trials

[G87](#) Photographs G88

[G89](#) Pre 1948 Records

[G90](#) Private patients' records

- admitted to hospital under Article 31 of the Health and Social Services (Northern Ireland) Order 1972

[G91](#) Record of patient's property handed in for safe keeping

[G92](#) Transplant records

- records of the date and time of transportation of organs arriving or leaving centres. Records of Donor and Organ Characterisation, details of risk/benefit analyses and records relating to SAE or SARs must also be retained for 30 years
- Donor records (blood and tissue)
- Patient who has received an organ transplant

[G93](#) Trauma Files

[G94](#) Ultrasound records (e.g. vascular, obstetric)

[G95](#) Video records/voice recordings/video-conferencing records/DVD records relating to patient care

- Clinical neurophysiology

[G96](#) Waiting List Information

[G97](#) Waiting List

[G98](#) Ward Registers including daily bed returns

[G99](#)X-ray films (including other image formats for all imagining modalities/diagnostics)

[G100](#) X-Ray Referral/Request Cards

[G101](#) X-ray registers

[G102](#)X-ray reports (including reports for all imaging modalities)


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

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

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

Ref	Record Type	Minimum Retention Period The minimum retention period is the minimum period the records described should be retained for. If the Health Record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.	Relevant Legislation / Derivation	Final Action If the record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.
G1	Abortion	Records to be maintained within the Primary or Secondary Patient Care Record and retained for the period of time appropriate to that record.		Destroy
G2	Accident and Emergency			
	A&E records (where these are stored separately from the main patient record)	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66 .		Destroy See GMGR Section G20 for children's records and GMGR Section G66 for mentally disordered persons' records
	Accident and Emergency Registers	8 years after the year to which they relate		PRONI Appraisal

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G3	Admission Books	8 years after last entry		Destroy
G4	Adult Patient/Client Clinical/Medical Case Records (not covered by any other speciality)	8 years after conclusion of treatment or death		PRONI Appraisal
G5	Allied Health Professional Records	Retain for the period of time appropriate to the patient/specialty, e.g. Adult Patient/Client Clinical/Medical Case Records (not covered in other categories) see GMGR Section G4 , children's records see GMGR Section G20 , maternity records see G62 , for mentally disordered persons see GMGR Section G66 .		See the appropriate speciality
G6	Ambulance records –patient identifiable component (including paramedic records made on behalf of the Ambulance Service)	10 years (applies to ALL Ambulance Clinical Records) NB Where a patient is transferred to the care of another HSC organisation all relevant clinical information must be transferred to the patients' health record held by that organisation)		Destroy
G7	Angiography tapes and disks	8 years		Destroy

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G8	Asylum seekers and refugees	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , maternity records see G62 for mentally disordered persons see GMGR Section G66 .		Destroy
G9	Audio tapes of calls requesting care/help		The Limitation (Northern Ireland) Order 1989 	Destroy
	999 calls			Destroy
	Calls to Northern Ireland Ambulance Service Calls to Northern Ireland Fire and Rescue Service	Retain taped calls for 10 years ensuring that all relevant clinical information has been transferred to the appropriate patient record. Where the recorded information is need for litigation purposes legal advice should be sought Retain taped calls for 3 years ensuring that those linked to criminal enquiries or litigation as highlighted elsewhere are copied and retained in the incident report (see N1) . Where the recorded information is need for litigation purposes legal advice should be sought		Destroy

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	GP Out of Hours	All clinical advice provided must be transferred to the GP Record and maintained as per G50 . Where it is not possible to transfer clinical information from the recording to the record the recording must be considered as part of the record and retained accordingly.		Destroy
	Recorded conversation	3 years Where the recorded conversation is required for legal reasons see 11		Destroy
G10	Audiology records	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66.	General Medical Council guidance on making and using visual and audio recordings of patients, can be found at: http://www.gmc-uk.org/guidance/current/library/making_audiovisual.asp#12	See the appropriate speciality
G11	Birth Notification (to Child Health Department)	Retain until the patient's 25th birthday or 26th if young person was 17 at conclusion of treatment, or 8 years after death.		Destroy
G12	Birth notification sheets	10 years		PRONI Appraisal

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G13	Birth registers (i.e. register of births kept by the hospital)	Lists sent to GRO on a monthly basis. 25 years following the last entry in the book		PRONI Appraisal
G14	Body Release Forms maintained as part of the patient record	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66 .		As per the final action for the patient record
G15	Cervical screening slides	10 years		Destroy
G16	Chaplaincy records	3 months		Destroy
	Baptismal, Blessing, naming records, memorial cards / books	75 years		Transfer to PRONI
G17	Child and family guidance	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66 .		See the appropriate speciality

Ref	Record Type	<p>Minimum Retention Period</p> <p>The minimum retention period is the minimum period the records described should be retained for. If the Health Record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.</p>	Relevant Legislation / Derivation	<p>Final Action</p> <p>If the record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.</p>
G18	Child Health Records (notification of Visitors/New Entrants either from abroad, or from within the UK from Airports, the Home Office Immigration Centre and the Housing Executive.)	<p>Database of notifications is recorded on both NIMATs and the CHS</p> <p>Where a health visitor visits the child the record of the visit should become part of the patient's record and retained until their 25th birthday or 26th birthday if an entry was made when the patient was 17 or 10 years after the patient's death if patient died while in the care of the organisation. This also applies to any other information that relates to patient care recorded by the health visitor for these purposes. Other information should be retained for a period of 2 years from the end of the year to which it relates.</p>		Destroy
G19	Child Health System – Electronic system record	100 years		PRONI Appraisal

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G20	Children and Young people (Health Records) including school health records but see GMGR Section G76 for children's oncology records	<p>Until the patient's 25th birthday or 26th if young person was 17 at conclusion of treatment or 8 years after last entry, if longer, or 8 years after death if death occurred before 18th birthday. In cases where the child grows into adulthood and maintains a need for treatment in the HSC WITHOUT A BREAK OF 8 years, then the record continues into adulthood and should be kept until 8 years after the last treatment or 8 years after death.</p> <p>If the illness or death could have potential relevance to adult conditions or have genetic implications for the family of the deceased, the advice of clinicians should be sought as to whether to retain records for longer period.</p>		PRONI Appraisal
G21	Clinical audit records	5 years		Destroy
G22	Clinical Protocol (GP, in-house)	25 years		Destroy
G23	Clinical psychology	20 years		Destroy
G24	Consent Forms	Retain as part of the patient clinical record.		Destroy
G25	Contraception and sexual health records	See Family Planning GMGR Section G46		Destroy

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G26	Crash Trolleys – record that a check on the trolley has been completed and any subsequent action	See D1		Destroy
G27	Death Registers (i.e. register of deaths kept by the hospital)	Lists sent to GRO on a monthly basis 2 years following the last entry in the book		Destroy
G28	Death Certificate Stubs	2 years from the last stub		Destroy
	Death Certificate created within the Northern Ireland Electronic Care Record	See G73		Destroy
G29	Discharge books (i.e. register of those discharged by the hospital)	8 years after last entry		PRONI Appraisal

Ref	Record Type	Minimum Retention Period The minimum retention period is the minimum period the records described should be retained for. If the Health Record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.	Relevant Legislation / Derivation	Final Action If the record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.
G30	DNA (health records for patients who did not attend for appointments as out-patients)	<p>Where there is a letter or correspondence informing the healthcare professional/organisation that has referred the client/patient/service user that the person did not attend and that no further appointment has been given, retain for 2 years after the decision is made.</p> <p>Where there is no letter or correspondence informing the healthcare professional/organisation that has referred the client/patient/service user that the person did not attend and that no further appointment has been given, retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20, for mentally disordered persons see GMGR Section G66.</p>		See the appropriate speciality
G31	Dental and orthodontic records (see GMGR Section G99 - G102 for X-Rays)			
	Community Dental Service	<p>11 years (Adults); or Until the patient's 25th birthday or 26th if young person was 17 at conclusion of treatment or 11 years after last entry, if longer, or 8 years after death if death occurred before 18th birthday</p> <p>Up to a maximum period of 30 years retention:</p>	http://www.dentalprotection.org/uk/publications/regulations/record-keeping-in-the-uk	Destroy

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	Hospital Dental Records	8 years (Adult); or Children and young people – Retain until the patient's 25 th birthday or 26 th if young person was 17 at conclusion of treatment or 8 years after death. If the illness or death could have potential relevance to adult conditions or have genetic implications, the advice of clinicians should be sought as to whether to retain the records for a longer period Up to a maximum period of 30 years retention.	http://www.dentalprotection.org/uk/publications/regulations/record-keeping-in-the-uk	PRONI Appraisal
G32	Dental records of a serving prisoner	11 years after release from prison		Destroy
G33	General Dental Services Patient records	6 years	General Dental Services Regulations (Northern Ireland) 1993 as amended by the General Dental Service (Amendment) Regulations (Northern Ireland) 2008 http://www.legislation.gov.uk/nisr/2008/395/contents/made	Destroy

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G34	Orthodontic Records	6 years	General Dental Services Regulations (Northern Ireland) 1993 as amended by the General Dental Service (Amendment) Regulations (Northern Ireland) 2008 http://www.legislation.gov.uk/nisr/2008/395/contents/made	Destroy
G35	Dental and Epidemiological surveys	Review after 30 years		PRONI Appraisal
G36	De-registered patients records	Records for de-registered patients, which are received by the HSCB, should be retained for at least 10 years. After the retention period has elapsed a decision must be taken by the HSCB as to whether to destroy the records or retain them further.		Destroy
G37	Diagnostic Image Data (for diagnostic imaging undertaken in the private sector under contract to the HSC or private providers treating patients on behalf of the HSC).	Retain for the life of the National Diagnostic Imaging Services Contract and then return the data to the HSC after which the retention period in this retention schedule will apply.		Destroy

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G38	District nursing records	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66 .		See the appropriate speciality
G39	Discharge nursing team assessments of patients' homes and nursing homes. NB The documents should be part of the patient record as they relate to the discharge of the patient.	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66 .		See the appropriate speciality
G40	Donor Breast Milk Bank			
	Donor Milk Batch	30 years	Para 1.2.71 National Institute for Health and Clinical Excellence Donor breast milk banks: the operation of donor milk bank services February 2010	Destroy
	Donor Milk used	30 years	Para 1.2.74 National Institute for Health and Clinical Excellence Donor breast milk banks: the operation of donor milk bank services February 2010	Destroy

Ref	Record Type	Minimum Retention Period The minimum retention period is the minimum period the records described should be retained for. If the Health Record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.	Relevant Legislation / Derivation	Final Action If the record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.
G41	Drug trials, records	see GMGR Section J10		see GMGR Section J10#i10
G42	Duplicate patient record notification forms	2 years after the decision of whether or not to merge unless there is a business need to retain for longer.		Destroy

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G43	<p>Electronic Patient Clinical Records System (including the Audit Trails) developed prior to 2013</p> <p>Electronic Patient Clinical Records System (including the Audit Trails) developed since 2013</p>	<p>When decommissioned retain in accessible format, including the Audit Trail, for a period to be determined by the Data Controller in consultation with Clinical Specialists.</p> <p>Records should be maintained, deleted or “put beyond use” (in line with the ICO’s guidance “Deleting Personal Data”) in accordance with a regular (at least five years) risk assessment by the Data Controller (or Joint Data Controllers). The risk assessment should be formally recorded and measured against the extant Data Protection legislation and Codes of Practice and the need to ensure effective ongoing clinical care.</p>		<p>Destroy</p> <p>Records should be “deleted” or “put beyond use” in line with the ICO’s guidance “Deleting Personal Data”⁴, in accordance with a regular (at least five years) risk assessment by the Data Controller (or Joint Data Controllers). The risk assessment should be formally recorded and measured against the extant Data Protection legislation and Codes of Practice and the need to ensure effective ongoing clinical care.</p>

⁴ This should be performed in accordance with a regular (at least five years) risk assessment by the Data Controller (or Joint Data Controllers). The risk assessment should be formally recorded and measured against the extant Data Protection legislation and Codes of Practice and the need to ensure effective on-going clinical care.

Ref	Record Type	Minimum Retention Period The minimum retention period is the minimum period the records described should be retained for. If the Health Record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.	Relevant Legislation / Derivation	Final Action If the record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.
G44	Electrocardiogram (ECG) Records	8 years, for children's records see GMGR Section G20 . NB Each chart should be labelled with the patient's name and unique identifier. Any over-sized charts could then be stored separately where a report is written into the health records.		Destroy
G45	Endoscopy Records including: Sterilix Endoscopic Disinfector Traceability Strips, Traceability Stickers for PEG/Stents (Endoscopy)	Retain for standard retention periods i.e. 8 years for adults and in the case of children and young people retain until the patient's 25th birthday or 26th if young person was 17 at conclusion of treatment, or 8 years after death. If the illness or death could have potential relevance to adult conditions or have genetic implications, the advice of clinicians should be sought as to whether to retain the records for a longer period.		Destroy

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G46	<p>Family Planning</p> <p>(also contraception and sexual health records)</p>	<p>For records of adults – retain for 10 years after last entry.</p> <p>For clients under 18 – retain until 25th birthday or for 10 years after last entry, whichever is the longer i.e. records for clients aged 16-17 should be retained for 10 years and records for clients under 16 should be retained until age 25 (i.e. still retained for at least 10 years).</p> <p>Records of deceased persons should be retained for 8 years after death.</p>	<p>Clinical Standards Committee,</p> <p>Faculty of Sexual and Reproductive Healthcare (FSRH) of the Royal College of Obstetricians and Gynaecologists</p> <p>NB The longest license period for a contraceptive device is 10 years</p> <p>www.bashh-org/communities/aga/servicespec/guidance-retention-disposal-notes-0606pdf</p>	PRONI Appraisal
G47	<p>Forensic medicine records (including pathology, toxicology, haematology, dentistry, DNA testing, post mortems forming part of the Coroner's report, and human tissue kept as part of the forensic record)</p> <p>See also Human tissue see GMGR Section G56, Post mortem reports see GMGR Section K.</p>	<p>For post-mortem records which form part of the Coroner's report, approval should be sought from the coroner for a copy of the report to be incorporated in the patient's notes, which should then be kept in line with the specialty, and then reviewed.</p> <p>All other records retain for 30 years.</p>	<p>The Royal College of Pathologists - The retention and storage of Pathological records & specimens 5th Edition, 2015</p> <p>guidance from The Royal College of Pathologists and the Institute of Biomedical Science:</p>	Destroy

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G48	Genetic records	30 years from date of last attendance.	<p>The Royal College of Pathologists endorses the Code of Practice and Guidance of the Advisory Committee on Genetic Testing (1997) and its recommendations on storage, archiving and disposal of specimens and records related to human testing services (genetics) offered and supplied direct to the public.</p> <p>Those who intend to offer such services should follow its guidance.</p>	Destroy
G49	Genito Urinary Medicine (GUM) Includes sexual health records	<p>For records of adults - retain for 10 years after last entry.</p> <p>For clients under 18 - retain until 25th birthday or for 10 years after last entry, whichever is the longer i.e. records for clients aged 16-17 should be retained for 10 years and records for clients under 16 should be retained until age 25 (i.e. still retained for at least 10 years).</p> <p>Records of deceased persons should be retained for 8 years after death.</p>	<p>Clinical Standards Committee, Faculty of Sexual and Reproductive Healthcare (FSRH) of the Royal College of Obstetricians and Gynaecologists</p> <p>See also Guidance on the Retention and Disposal of Hospital Notes, British Association for Sexual Health and HIV (BASHH)</p> <p>http://www.bashh.org/documents/1062/1062.pdf</p>	Destroy
G50	GP Medical Records			

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	GP Medical Records	<p>GP Medical Records should be returned to the HSCB when:</p> <ul style="list-style-type: none"> • a patient dies • the person is no longer a patient of the GP <p>GP Records should be held by the HSCB other than the records listed below for 10 years after death or after the patient has permanently left the country unless the patient remains in the European Union.</p> <p>In the case of a child if the illness or death could have potential relevance to adult conditions or have genetic implications for the family of the deceased, the advice of clinicians should be sought as to whether to retain the records for a longer period.</p>	The Health & Personal Social Services (General Medical Services Contracts) Regulations (Northern Ireland) 2004, S.R. 2004 No.140	Destroy
	GP Medical Records - Maternity records	25 years after last live birth	The Health & Personal Social Services (General Medical Services Contracts) Regulations (Northern Ireland) 2004, S.R. 2004 No.140 Congenital Disabilities (Civil Liability) Act 1976, Consumer Protection (Northern Ireland) Order 1987	Destroy

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	GP Medical Records - Records relating to persons receiving treatment for a mental disorder within the meaning of the Mental Health (Northern Ireland) Order 1986	<p>20 years after the date of the last contact; or 10 years after patient's death if sooner.</p> <p>NB GPs may wish to keep mental health records for up to 30 years before review. They must be kept as complete records for the first 20 years but records may then be summarised and kept in summary format for the additional 10-year period.</p>	<p>The Health & Personal Social Services (General Medical Services Contracts) Regulations (Northern Ireland) 2004, S.R. 2004 No.140</p> <p>Royal College of Psychiatrists</p>	Destroy
	GP Medical Records, relating to HM Armed Forces. This refers to GP records of serving military personnel that were in existence prior to them enlisting.	<p>GP Medical Records should be returned to the HSCB when a patient becomes a member of HM Armed Forces. The medical records should be marked "not for destruction" within the HSCB.</p> <p>The Ministry of Defence (MoD) retains a copy of the records relating to service medical history. The patient may request a copy of these under the Data Protection Act (DPA), and may, if they choose, give them to their GP. GPs should also receive summary records when ex-Service personnel register with them.</p> <p>What GPs do with them then is a matter for their professional judgement, taking into account clinical need and DPA requirements – they should not, for example, retain information that is not relevant to their clinical care of the patient.</p>		Not to be destroyed.

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	GP Medical Records, relating to HM Armed Forces. This refers to GP records of serving military personnel that were in existence prior to them enlisting and held by HSCB.	These records should not be destroyed, however if the HSCB is notified of the death of such a patient the “not for destruction” marking should be removed and the records retained for 10 years after death.		Destroy
	GP Electronic Patient Record including those serving a period of imprisonment and Out of Hours Services	GPs must not destroy or delete their electronic patient records for the foreseeable future, unless and until such times as these records are transferrable in their entirety (including the audit trail) between clinical systems and from a GP system to the HSCB/BSO.	Good Practice Guidelines for General Practice Electronic Patient Records (version4)	Not to be destroyed Retain Permanently
	GP Medical Records of those serving a prison sentence of more than 2 years, in existence prior to their imprisonment	<p>GP Medical Records relating to those serving a prison sentence of more than two years should be sent to the HSCB</p> <p>The HSCB should mark the records “not for destruction”.</p> <p>If the HSCB is notified of the death of such a patient the “not for destruction” marking should be removed and the records retained in the same way as for any other deceased patient.</p>		Destroy

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G51	Handover Records (e.g. Ward) Prison Health 24HR Nursing Handover Report	Where a handover sheet exists it should be retained for 1 year Individual sheets and notes held by staff must be destroyed confidentially at the end of each shift Retain for 1 year		Destroy
G52	Health Visitor / School Health Records (These are Nursing Records and relevant Safeguarding and Looked After Children Information will be contained within Social Worker record.)	Retain until the patient's 25th birthday or 26th if young person was 17 at conclusion of treatment, or 8 years after death. 10 years for all other cases		Destroy
G53	Hospice Care (For Example Macmillan, Marie Curie, NI Hospice, The Palliative and End of Life Care patient records– community and acute)	Organisations regulated under The Independent Health Care Regulations (Northern Ireland) 2005 see GMGR Section O16 Otherwise retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 .		See the appropriate speciality
G54	Hospital acquired infection records	6 years		Destroy

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G55	Human fertilisation records, including embryology records	Treatment Centres The following retention periods apply to data held by clinics as established by HFEA General Directions 0012 version 1. <ol style="list-style-type: none"> Where it is known that a birth has resulted from treatment – 30 years after the child’s birth. Where it is known that no birth has resulted from treatment – 30 years after conclusion of treatment. Where the outcome of treatment is unknown – 50 years after the information was first recorded. 	HFEA Data Protection Policy Version 2 February 2009 Directions given under the Human Fertilisation and Embryology Act 1990, 24 January 1992 (this Act is subject to review by the Government: http://www.hfea.gov.uk/docs/D1992_1.pdf	PRONI Appraisal
	Human fertilisation records, including embryology records	Storage centres Where gametes, etc have been used in research, records must be kept for at least 50 years after the information was first recorded	This applies to centres in respect of information which they are directed to record and maintain under a treatment/storage licence.	PRONI Appraisal

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	Human fertilisation records, including embryology records	<p>Research centre</p> <p>(a) the total number of embryos or human admixed embryos created, used or disposed of during the research project;</p> <p>(b) the results of the research project; and</p> <p>(c) the conclusions drawn from the research project.</p>	<p>Such Records are to be kept for 3 years from the date of final report of results/conclusions to Human Fertilisation and Embryology Authority (HFEA).</p> <p>Where a research project involves the derivation of stem cells for human application, a record of the information specified must be retained for a period of at least 30 years from the date the final report of any research project is submitted to the Authority.</p>	PRONI Appraisal
G56	Human tissue (within the meaning of the Human Tissue Act 2004) (see Forensic medicine above)	<p>For post mortem records which form part of the Coroner's report, approval should be sought from the Coroner for a copy of the report to be incorporated in the patient's notes, which should then be kept in line with the specialty, and then reviewed.</p> <p>All other records retain for 30 years.</p>	Human tissue (within the meaning of the Human Tissue Act 2004)	Destroy

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G57	<p>Immunisation and vaccination records – This information is held in Health Visitor and GP records for preschool children and also on the Child Health System.</p> <p>When a child goes to school and receives immunisations at school these are only recorded on the Child Health System, and not in GP records. GPs may also record information about immunisations for travel for people of all ages, in their own records, which is not recorded on the Child Health System.</p>	<p>Information held on:</p> <p>the Child Health System: see G19</p> <p>GP records:- see G50</p> <p>For health visitor records see - G52</p>		Destroy
G58	Intensive Care Unit charts	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66 .		Destroy

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G59	Joint replacement records	10 years For joint replacement surgery the revision of a primary replacement may be required after 10 years and there is a need to identify which prosthesis was used originally. There is only a need to retain the minimum of notes with specific information about the original prosthesis for the full 10 years.	http://www.njrcentre.org.uk Consumer Protection (Northern Ireland) Order 1987 and Article 8(3) The Limitation (Northern Ireland) Order 1989	Destroy
G60	Learning difficulties – (records of patients with) NB Specific Learning Difficulty is where a person finds one particular thing difficult but manages well in everything else.	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66 .	Royal College of Psychiatrists	See the appropriate speciality
G61	Learning Disabilities NB A general learning disability is not a mental illness – it is a life-long condition, which can vary in degree from mild to profound.	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66 .	Royal College of Psychiatrists	See the appropriate speciality

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G62	Maternity (all obstetric and midwifery records including those of episodes of maternity care that end in still birth or where the child later dies).	25 years after last entry or update or in the case of death, where the patient has been pregnant or given birth in the 12 months preceding their death the record should be kept for 25 years, (A separate set of notes is generated for each pregnancy. The notes should be retained 25 years after the end of each pregnancy episode.) Where the baby receives donor milk the baby's record should be kept for 30 years.	Para 1.74 National Institute for Health and Clinical Excellence Donor milk banks: service operation February 2010	PRONI Appraisal
G63	Mammography screening			
	Mammograms & Reports	Normal packet – 9 years after date of final attendance Screen detected cancers – Indefinitely Interval cancers – Indefinitely Interesting cases – Indefinitely Retention periods should be calculated from the end of the calendar year following the conclusion of treatment or the last entry in the record.	BFCR (06)4 Royal College of Radiologists	Destroy

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	Research cases	15 years after date of final attendance Retention periods should be calculated from the end of the calendar year following the conclusion of treatment or the last entry in the record.	BFCR (06)4 Royal College of Radiologists	Destroy
	Age Trial Cases	9 years after date of final attendance Retention periods should be calculated from the end of the calendar year following the conclusion of treatment or the last entry in the record.	BFCR (06)4 Royal College of Radiologists	Destroy
	Deaths	9 years after final attendance Retention periods should be calculated from the end of the calendar year following the conclusion of treatment or the last entry in the record.	BFCR (06)4 Royal College of Radiologists	Destroy
G64	Medical illustrations	See photographs GMGR Section G86 retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66 .		See the appropriate speciality

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G65	Medical Records of those serving a period of imprisonment	<p>Records wherever they are held other than the records listed below retain for 10 years after the death or after the patient has permanently left the country unless the patient remains in the European Union.</p> <p>In the case of a child if the illness or death could have potential relevance to adult conditions or have genetic implications for the family of the deceased, the advice of clinicians should be sought as to whether to retain the records for a longer period.</p> <p>Maternity records – see G62</p> <p>Where the prisoner was suffering from a mental health disorder within the meaning of the Mental Health (Northern Ireland) Order 1986, 20 years after the date of the last contact; or 10 years after patient's death if sooner.</p>		Destroy
G66	<u>Mental Health Records</u> Mentally disordered persons (within the meaning of the Mental Health (Northern Ireland) Order	20 years after no further treatment considered necessary; or 8 years after the patient's death if the		Transfer to PRONI all files for each Census Year ⁵ beginning with

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

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

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	1986)	<p>patient died while still receiving treatment</p> <p>With regard to the selection of records for medical research purposes, PRONI advises that medical staff should recommend records for permanent preservation. Decisions should be based on the medical research potential of the records, e.g. on the different forms of mental disorder (genetic or otherwise) and on the different treatments.</p> <p>When the records come to the end of their retention period, they must be reviewed and not automatically destroyed. Such a review should take into account any genetic implications of the patient's illness. If it is decided to retain the records, they should be subject to regular review.</p>		<p>1951 and in addition all files related to:</p> <p>a) suicide cases or where the cause of death was uncertain;</p> <p>b) cases which have already been the subject of medical research by doctors or record drug trials;</p> <p>c) cases of medical research potential;</p> <p>d) social worker's reports and related records (e.g. personal "life testimonies" by patients – retained because of their social historical content);</p> <p>e) criminal mentally disordered offender cases where the person is convicted of a serious</p>

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				<p>crime e.g. homicide; and</p> <p>f) mentally disordered offender cases where the person has been transferred to the following high secure or medium secure units:</p> <p>Ashworth Hospital;</p> <p>Broadmoor Hospital;</p> <p>Carstairs Hospital;</p> <p>Rampton Hospital;</p> <p>Shannon Clinic,</p> <p>Knockbracken Health Care Park.</p>
	Mental Health Records – Child & Adolescent (includes clinical psychology records) not listed elsewhere in this schedule.	20 years from the date of last contact, or until their 25th/26th birthday, whichever is the longer period. Retention period for records of deceased persons is 8 years after death.		Destroy

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G67	Microfilm/microfiche records relating to patient care	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66 .	See GMGR Part 1 Guide to preservation Microfilming 2000	See the appropriate speciality PRONI Appraisal
G68	Midwifery records	See (Maternity) GMGR Section G62	Midwives rules and standards (NMC 2012) (rule 6).	Destroy
G69	Mortuary registers (where they exist in paper format)	30 years	The Royal College of Pathologists. The Royal College of Pathologists - The retention and storage of Pathological records & specimens (5th Edition, 2015)	Destroy
G70	Music therapy records	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66 .		See the appropriate speciality
G71	Neonatal screening records	25 years		Destroy
G72	Nicotine Replacement Therapy (dispensed as smoking cessation aid)	2 years unless there are clinical indications to keep them for longer		Destroy

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		The minimum retention period is the minimum period the records described should be retained for. If the Health Record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.		If the record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.
G73	Northern Ireland Electronic Care Record (NIECR) ⁶	10 years after the death of the patient or where the patient has been pregnant or given birth in the 12 months preceding their death the record should be kept for 25 years, For systems accessed through the NIECR see G43 or G50 .		Records created on the NIECR system should be “destroyed,” “deleted” or “put beyond use” in line with the ICO’s guidance “Deleting Personal Data” ⁷ ,
G74	Notifiable diseases book	6 years		Destroy
G75	Occupationally Related Diseases (e.g. asbestosis, pneumoconiosis, byssinosis)	10 years after date of last entry in the record	British Thoracic Society’s Occupational and Environmental Lung Disease Specialist Advisory Group	Destroy

⁶ The Northern Ireland Electronic Care Record (NIECR) introduced in July 2013 , brings together key information from health and social care records contained in individual electronic systems e.g. PAS, Laboratory, ED systems. The information contained in NIECR is brought together from the many systems used in different hospitals, health and social care centres and general practice, with a core dataset of:

- Name, address, date of birth, Health+Care Number, hospital numbers, GP details.
- ‘Encounters’ – visits to hospitals and Out of Hours Centres, including clinics, inpatient stays, A&E attendances, plus appointments booked for the future.
- Referral letters, discharge letters and other clinical correspondence such as diabetes, cardiology, Out of Hours calls.
- Allergy information if recorded in hospitals or GPs.
- What medications your GP has prescribed you. If a patient/service has ‘opted out’ of sharing their allergy and medication information from their GP during the Emergency Care Summary roll out, this portion of their NIECR will not be available.
- Laboratory test and x-ray results.

⁷ This should be performed in accordance with a regular (at least five years) risk assessment by the Data Controller (or Joint Data Controllers). The risk assessment should be formally recorded and measured against the extant Data Protection legislation and Codes of Practice and the need to ensure effective on-going clinical care.

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G76	Oncology (All records where the patient has had treatment for oncology, otherwise retain the records as per the appropriate classification)			
	Paediatric oncology Records where condition was diagnosed prior to the 18th birthday	Until 65th birthday	BFCO (06)2 issued by the Royal College of Radiologists with the support of the Joint Council for Clinical Oncology	PRONI Appraisal
	All other Oncology Records	50 years or 8 years after death.	BFCO (06)2 issued by the Royal College of Radiologists with the support of the Joint Council for Clinical Oncology	PRONI Appraisal
G77	Operating Theatre Lists	4 years; 48 hours for prints taken from computer records		Destroy
G78	Operating Theatre Registers	8 years after the year to which they relate		Destroy
G79	Ophthalmic Screening and General Ophthalmic Services (GOS)	A contractor shall keep a proper record in respect of each patient to whom he provides general ophthalmic services, giving appropriate details of sight testing, for 7 years from and including the date of the last recorded sight test "... but it is recommended for best practice, in line with the professional bodies, that GOS records are retained for 12 years"	Paragraph 7 Schedule 1 Health and Personal Services General Ophthalmic Services Regulations (Northern Ireland) 2007 –S.R.2007 No.436 http://www.legislation.gov.uk/nisr/2007/436/contents/made	Destroy

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G80	Orthoptic records	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66 .	British and Irish Orthoptic society	See the appropriate speciality
G81	Out-patient lists	2 years after the date to which they relate		Destroy
G82	Paediatric records	see Children and young people GMGR Section G20		PRONI Appraisal
G83	Parent-held records (i.e. records for sick/ ill children being cared for at home by community teams NOT the records of newborn children.) These records are HSC records that belong to clinical staff but which are held by the parent.	At the end of an episode of care the HSC organisation responsible for delivering that care and compiling the record of the care must make appropriate arrangements to retrieve parent-held records. The records should then be retained until the patient's 25th birthday or 26th birthday if the young person was 17 at the conclusion of treatment, or 8 years after death.		Destroy
G84	Patient Group Directions (PGDs) master copies, lists of authorised Practitioners, and records of version numbers	25 years		Destroy

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G85	Patient-held records	At the end of an episode of care the HSC organisation responsible for delivering that care and compiling the record of the care must make appropriate arrangements to retrieve patient-held records. The records should then be retained for the period appropriate to the specialty.		Destroy
G86	Patients involved in clinical trials	15 years after conclusion of treatment.	See J10	PRONI Appraisal
G87	Photographs – (where the photograph refers to a particular patient it should be treated as part of the case health record) NB: In the context of GMGR a “photograph” is a print taken with a camera and retained in the patient record.	Retain for the period of time appropriate to the patient/specialty, e.g. children’s records see GMGR Section G20 , maternity records see G62 , for mentally disordered persons see GMGR Section G66 . Unless there is a clinical or legal reason for retaining the digital image and a print is placed on the patient’s record, there is no requirement to retain the digital image.		See the appropriate speciality
G88	Pre 1948 Records	Records in this category may already have been destroyed or sent to PRONI for permanent preservation. Any records which still exist and do not fall within any other category should be referred for a special PRONI Review.		Special Review by PRONI

Ref	Record Type	Minimum Retention Period The minimum retention period is the minimum period the records described should be retained for. If the Health Record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.	Relevant Legislation / Derivation	Final Action If the record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.
G89	Private patients records admitted to hospital under Article 31 of the Health and Social Services (Northern Ireland) Order 1972	Although technically exempt from the Public Records Act (Northern Ireland) 1923, it is appropriate to treat as if they were not exempt in which case retention periods relevant to the condition apply.		Destroy
G90	Radiation dose records for classified persons	50 years from the date of the last entry or age 75, whichever is the longer	Ionising Radiation Regulations (NI) 2000, SR 2000 No 375. (reg. 19(3)(a))	Destroy
G91	Record of patient's property handed in for safe keeping	6 years after the end of the financial year		Destroy

Ref	Record Type	<p align="center">Minimum Retention Period</p> <p>The minimum retention period is the minimum period the records described should be retained for. If the Health Record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.</p>	<p align="center">Relevant Legislation / Derivation</p>	<p align="center">Final Action</p> <p>If the record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.</p>
G92	<p>Transplant records – This includes records of the date and time of transportation of organs arriving or leaving centres. Records of Donor and Organ Characterisation, details of risk/benefit analyses and records relating to SAE or SARs must also be retained for 30 years</p> <p>Donor records (blood and tissue)</p> <p>Patient who has received an organ transplant</p> <p>Some information is held on HTA A and B forms which, when returned to NHSBT, will also be kept for 30 years.</p>	<p>The Regulations and the documentary framework require that traceability information is retained for 30 years from the date of retrieval of the organ.</p> <p>See also Pathology GMGR Section K</p> <p>Precedent Cases should be transferred to PRONI.</p> <p>A serious adverse event (SAE) is defined in the Regulations as 'any undesired and unexpected occurrence associated with any stage of the chain from donation to transplantation that might lead to the transmission of a communicable disease, to death or life-threatening, disabling or incapacitating conditions for patients or which results in, or prolongs, hospitalisation or morbidity'.</p>	<p>Human Tissue Act http://www.legislation.gov.uk/ukpga/2004/30/contents</p> <p>Human Tissue (Quality and Safety for Human Application) Regulations 2007 http://www.legislation.gov.uk/uksi/2007/1523/pdfs/uksi_20071523_en.pdf</p> <p>Human Tissue Authority - Organ Donation and Transplant Frequently Asked Questions https://www.hta.gov.uk/faqs/organ-donation-and-transplant-faqs</p> <p>Some information is held on HTA A and B forms which, when returned to NHSBT, will also be kept for 30 years.</p> <p>Advisory Committee on the Safety of Blood, Tissues and Organs (SaBTO)</p>	PRONI Appraisal

Ref	Record Type	Minimum Retention Period The minimum retention period is the minimum period the records described should be retained for. If the Health Record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.	Relevant Legislation / Derivation	Final Action If the record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.
G93	Trauma Files	See G66 Mental Health Records and G23 Clinical Psychology		PRONI Appraisal
G94	Ultrasound records(e.g. vascular, obstetric)	Retain for the period of time appropriate to the patient/specialty, e.g. children's records see GMGR Section G20 , for mentally disordered persons see GMGR Section G66 or 8 years after the patient's death if patient died while in the care of the organisation.		Destroy

Ref	Record Type	<p style="text-align: center;">Minimum Retention Period</p> <p>The minimum retention period is the minimum period the records described should be retained for. If the Health Record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.</p>	Relevant Legislation / Derivation	<p style="text-align: center;">Final Action</p> <p>If the record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.</p>
G95	<p>Video records/voice recordings/video-conferencing records/DVD records relating to patient care Includes:-</p> <p>Clinical neurophysiology</p> <p>Clinical neurophysiology is a diagnostic specialty, which uses the investigations of electroencephalography (EEG), electromyography (EMG), nerve conduction studies (NCS), and evoked potentials (EPs) to assess function in the nervous system and assist in diagnosis, assessment of severity and monitoring of disease progression.</p>	<p>These records form part of the patient record.</p> <p>8 years subject to the following exceptions or where there is a specific statutory obligation to retain records for longer periods:</p> <p>Children and young people: Records must be kept until the patient's 25th birthday, or if the patient was 17 at the conclusion of treatment, until their 26th birthday, or until 8 years after the patient's death if sooner.</p> <p>Maternity: 25 years</p> <p>Mentally disordered persons: Records should be kept for 20 years after the date of last contact between patient/client/service user and any healthcare professional or 8 years after the patient's death if sooner.</p> <p>Cancer patients: See G76 The Royal College of Radiologists has recommended that such records be kept permanently where chemotherapy and/or radiotherapy was given.</p>		Destroy

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G96	Waiting List Information Letters and responses to and from clients/ patients/service user asking if they wish to remain on a waiting list.	All information relating to the patient should be recorded in the patient record by the clinician and kept according to speciality. Boarding Cards/ Administrative records relating to the management of the list – retain until the patient receives the procedure or decides not to proceed.		Destroy
G97	Waiting List	See Reference GMGR Q1 for returns sent to the Department. The actual list should be kept on a three year rolling cycle.		Destroy
G98	Ward Registers including daily bed returns	1 year		Destroy

Ref	Record Type	<p align="center">Minimum Retention Period</p> <p>The minimum retention period is the minimum period the records described should be retained for. If the Health Record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.</p>	<p align="center">Relevant Legislation / Derivation</p>	<p align="center">Final Action</p> <p>If the record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.</p>
G99	X-ray films (including other image formats for all imagining modalities/diagnostics)	<p>General Patient Records – 8 years after conclusion of treatment.</p> <p>Children & Young People – Until the patient's 25th birthday, or if the patient was 17 at conclusion of treatment, until their 26th birthday or 8 years after the patient's death if sooner.</p> <p>Maternity – 25 years after the birth of the child, including still births.</p> <p>Clinical Trials – 15 years after completion of treatment.</p> <p>Litigation – Records should be reviewed 10 years after the file is closed. Once litigation has been notified (or a formal complaint received) images should be stored until 10 years after the files have been closed.</p> <p>Mental Health – 20 years after no further treatment considered necessary or 8 years after death.</p> <p>Oncology – see GMGR Section G76 Oncology Records.</p>	<p>BFCR(06)4 – Royal College of Radiologists Guidance from the Royal College of Radiologists regards “images and request information (to be) of a transitory nature” (para 2.1), but goes on to say: “It is now considered that best practice should move towards retention of image data for the same duration as report and request data” (para 2.2) and recommends that “the retention period for text and image data are equal and comply with the published retention schedules” (para 7.1):</p> <p>http://www.rcr.ac.uk/publications.aspx?PageID=310&PublicationID=234</p> <p>The Ionising Radiation (Medical Exposure) Regulations 2000</p>	Destroy

Ref	Record Type	Minimum Retention Period The minimum retention period is the minimum period the records described should be retained for. If the Health Record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.	Relevant Legislation / Derivation	Final Action If the record is held purely within an Electronic Patient Clinical Records System, the guidance in G43 should be followed.
G100	X-Ray Referral/Request Cards	8 years providing there is a record in the patient's health record that a referral /request was made for an x-ray.	Guidance from the Royal College of Radiologists regards "images and request information (to be) of a transitory nature" (Para 2.1) but goes on to say: "It is now considered that best practice should move towards retention of image data for the same duration as report and request data" (Para2.2) and recommends that "the retention period for text and image data are equal and comply with the published retention schedules"(para7.1): http://www.rcr.ac.uk/index.asp?PageID=310&PublicationID=234 The Ionising Radiation (Medical Exposure) Regulations 2000	Destroy
G101	X-ray registers	8 years	The Ionising Radiation (Medical Exposure) Regulations 2000	Destroy
G102	X-ray reports (including reports for all imaging modalities)	To be considered as a permanent part of the patient record.	The Ionising Radiation (Medical Exposure) Regulations 2000	As per the final action for the patient record

H. Work Area – ICT

[H1](#) Software licences

[H2](#) Documentation relating to computer programmes written in-house

- Minor administrative records
- Geographical Information System

[H3](#) Products (liability)

[H4](#) Records documenting the development and establishment of systems management policies

[H5](#) Records documenting the security arrangements for ICT systems

[H6](#) Display Screen Equipment

- Records relating to monitoring in the workplace
- Eyesight Tests

[H7](#) Records documenting helpdesk services

[H8](#) Website

- Content
- Management

[H9](#) Records relating to the ongoing management, and changes to system support

[H10](#) Telecommunications records management

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
H1	Software licences	Lifetime of software plus any additional time required to ensure all legal and audit requirements are met	Consumer Protection (Northern Ireland) Order 1987 Where the records are potentially relevant to the issue of proceedings specific legal advice should be sought from the organisation's legal advisors to determine whether the records should be retained further within the organisation	Destroy
H2	Documentation relating to computer programmes written in-house.	Lifetime of software plus any additional time required to ensure all legal and audit requirements are met	Consumer Protection (Northern Ireland) Order 1987 Where the records are potentially relevant to the issue of proceedings specific legal advice should be sought from the organisation's legal advisors to determine whether the records should be retained further within the organisation	Destroy
	Minor administrative records	Current plus 2 years		Destroy
	Geographical Information System (Used by emergency services)	Lifetime of software plus any additional time required for legal or audit purposes see GMGR I1 or F5		Destroy
H3	Products (liability)	See GMGR D9		Destroy
H4	Records documenting the development and establishment of ICT systems management policies and procedures.	See GMGR Section J30 and GMGR Section J37		PRONI Appraisal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
H5	Records documenting the security arrangements for ICT systems.	See GMGR Section D9	http://www.bangor.ac.uk/ar/ro/recordsmanagement/InformationCommunicationTechnologyICTSystemsManagement-RecordsRetentionSchedule.php.en	Destroy
H6	Display Screen Equipment - Records relating to monitoring in the workplace.	See GMGR E11		Destroy
	Eyesight Tests	See GMGR Section L38		Destroy
H7	Records documenting helpdesk services including faults reported, requests for technical and application support and action taken to resolve and assistance provided.	Last action plus 1 year Service Management Records should be retained as per GMGR H9		Destroy
H8	Website Website content Web Management	Material placed on the website which is a record of the organisation must be held within the record keeping system for the appropriate period 1 years	See GMGR Guidance Section	Destroy
H9	Records relating to the ongoing management, and changes to system support including user accounts, and monitoring use of systems.	7 years In cases where the capability to comply with this for Individual Systems and Management Contracts is not possible the retention period should be determined with a risk assessment by the Data Controller (or Joint Data Controllers)		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	<p>Audit logs of all networks and systems (Audit Logs are records of sequential activities maintained by the application or system)</p> <p>An audit trail consists of the log records identifying a particular transaction or event and is retained for the life of the record it relates to</p>	6 months. Where size restrictions prevent this retention period they may be deleted or “put beyond use” (in line with the ICO’s guidance) earlier in accordance with a risk assessment by the Data Controller (or Joint Data Controllers).		Deleted or “put beyond use” (in line with the ICO’s guidance)
H10	<p>Telecommunications records management</p> <p>The telephony systems record (not recorded conversation)</p> <p>Audiotapes/recordings of calls requesting assistance</p> <p>Helpline calls</p> <p>Message books/ logs of calls received</p> <p>Calls made from DoH and HSC Organisations</p>	<p>1 year</p> <p>see GMGR G9</p> <p>see G9</p> <p>see J35</p> <p>2 years or until system capacity is exceeded</p>		Destroy

I. Work Area – Legal

[11](#) Records/documents related to any form of litigation

[12](#) Database containing information on all claims

[13](#) Police Statements

[14](#) Family Health Service Appeals Authority tribunal and case files

Ref	Record Type	Minimum Retention Period	Relevant legislation / Derivation	Final Action
I1	Records/documents related to any form of litigation.	<p>6 years from the date of the last action on the file or settlement of the case whichever is the later and as advised by legal advisors. Specific legal advice should be sought from the organisation's legal advisors to determine whether the records should be retained further within the organisation.</p> <p>In cases where the proceedings relate to a minor (i.e anyone under the age of 18) records should be maintained until their 25th birthday.</p> <p>In cases involving a person under a disability (see definition in Part 1) records should be retained for a period of six years after the death of the individual concerned.</p>	HSC (SQSD) 05/10 Handling Clinical and Social Care Negligence and Personal Injury Claims	PRONI Appraisal
I2	Database containing information on all claims (HSC (SQSD) 05/10 Para 39 refers).	50 years - note also GMGR G43	HSC (SQSD) 05/10 Handling Clinical and Social Care Negligence and Personal Injury Claims	Destroy
I3	Police Statements (made in the context of Accident and Emergency episodes. Statements are requested by the Police from the A&E staff in	10 years (congruent retention period as Incident Forms)		Destroy

Ref	Record Type	Minimum Retention Period	Relevant legislation / Derivation	Final Action
	relation to alleged injuries of or by patients coming through A&E).			
I4	Family Health Service Appeals Authority tribunal and case files.	Case files – 10 years Decision records – until individual's 80th birthday		Destroy

J. Work Area - Organisation

[J1](#) Agendas and Minutes of Trust/HSCB/Agency/Departmental Board/TMG Meetings

[J2](#) Agendas and minutes of major committees, sub-committees

[J3](#) Agendas, meeting papers

[J4](#) Meetings and minutes papers

[J5](#) Advance letters

[J6](#) Ambulance Administrator Records

[J7](#) Annual/Corporate Reports

[J8](#) Audit

[J9](#) Business Plans, Corporate Plans and Strategic Plans

[J10](#) Clinical Trials

- Advanced Medical Therapy Research Master File
- Trial Master File
- Research Ethics Committee Records
- Trial Subject's Medical Files
- Marketing authorisation
- All other documentation pertaining to the trial
- Final Report
- Data collected in the course of research

[J11](#) Commissioning decisions

- Appeal documentation
- Decision documentation

[J12](#) Contact details

[J13](#) Correspondence and other papers of minor or ephemeral importance not covered elsewhere e.g.

- advertising matter
- printing
- covering letters
- compliments and appreciations
- queries
- reminders
- letters making appointments
- anonymous or unintelligible letters
- drafts
- duplicates of documents known to be preserved elsewhere (unless they have important minutes on them) indexes and registers compiled for temporary purposes
- routine reports
- punched cards, and
- other documents which have ceased to be of value on settlement of the matter involved

[J14](#) Data Input Forms

[J15](#) Departmental Enquiries

[J16](#) Diaries

[J17](#) Equality and good relations: documents

[J18](#) Garden Parties and Public Functions

[J19](#) Governance and Quality Assurance/Controls Assurance Records

- Annual report on the discharge of delegated statutory functions and corporate parenting report
- Quality assurance records (e.g. Healthcare Commission, Audit Commission, King's Fund Organisational Audit, Investors in People, NIMDTA)

- Controls Assurance Standards
- Controls Assurance Exercise Documents
- Assessment of performance against controls Assurance Standards
- Liaison between organisations relating to governance
- Monitoring of performance by the Department
- Records relating to internal organisational, team standards
- Risk Registers
- Accountable Officer Records
- Local Intelligence Network Records
- Medicines Regulatory Group
 - Inspections
 - Investigations
- Regional Mortality and Morbidity Review System
 - Multi-Disciplinary Team – Review Meetings
 - Outcomes of the Multi Disciplinary Team – Review Meetings
 - Records of concern and the assessment and investigation of concerns
- Records created within the Electronic Care Record

[J20](#) Guidance and Circulars

[J21](#) Honours, Awards & Prizes

[J22](#) Hospital (trust) services i.e. service that the Trust provides e.g. catering, hotel services.

[J23](#) Hospitality

- Gifts and Hospitality Registers including the offers of gifts
- Catering forms
- Guidance on the provision and acceptance of gifts

[J24](#) Human Rights

[J25](#) Incoming mail – records of

[J26](#) Information Access – FOI, EIR & DPA

[J27](#) Legislation

[J28](#) Library Services

- Copyright declaration forms
- Acquisition, Catalogues Circulation Customer Services, Advice and Guidance

[J29](#) Mailing lists

[J30](#) Manuals – policy and procedure (administrative and clinical, strategy documents)

[J31](#) Ministerial, Permanent Secretary and Chief Executive Records

[J32](#) Organisational Charts

[J33](#) Patient/customer information leaflets

[J34](#) Patient/ client/ customer surveys

[J35](#) Phone Message Books

[J36](#) Photographs Image Library records

[J37](#) Policy, procedures and guidelines

[J38](#) Press and Public Relations Records

- Media Briefing
- Official Briefings – responses
- Press Conference reports
- Press Cuttings
- Press Releases
- Public consultations
- Reports on media/public relations, correspondence with media, press reports
- Special Events
 - Correspondence and papers

- Reports
- Visitors books
- Calendars, Brochures and guides
- Speeches and Interviews

[J39](#) Project Records

- Project proposals
 - approved
 - rejected or deferred
- Project Initiation Documents
- European Projects

[J40](#) Project files (excluding estates)

- Project files (over £100,000 on termination, including abandoned or deferred projects)
- Project files (less than £100,000 on termination include)

[J41](#) Publications internal, corporate identity, translations

[J42](#) Publication Scheme

[J43](#) Records related to recognised charter marks, standards, models e.g. investors in people

[J44](#) Record of custody and transfer of keys

[J45](#) Register of Board members' and Senior Managers' interests

[J46](#) Registered Staff Lists

[J47](#) Reports (major)

[J48](#) Records Management

- Disposal
- Storage
- General Management

[J49](#) Research and development records

[J50](#) Requests for access to records, other than FOI or SARs

[J51](#) Research and development

[J52](#) Security Pass

[J53](#) Security policy covering the correct handling and safekeeping of Disclosure Information

[J54](#) Stock Control reports

[J55](#) Stores records - major

[J56](#) Stores records - minor

[J57](#) Supplies records

[J58](#) Training Records

[J59](#) Trust documents without permanent relevance/not otherwise mentioned

[J60](#) Unpublished material of the history of the Organisation

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
J1	Agendas and Minutes of Trust/HSCB/Agency/Departmental Board/ Top Management Group (TMG) Meetings (Master Copies including associated papers)	20 years		Transfer to PRONI
J2	Agendas and minutes of major committees, sub-committees (Master Copies, including associated papers)	10 years		Transfer to PRONI

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
J3	Agendas, meeting papers, minutes– committees, sub committees, predecessors, professional staff/team meetings (Master Copies)	10 years		PRONI Appraisal
J4	Meetings and minutes papers (other, including reference copies of major committees)	2 years		Destroy
J5	Advance letters (e.g. DH guidance)	6 years		Destroy
J6	Ambulance Administrator Records (i.e.) records containing non-clinical details only e.g. records of journeys.	2 years from the end of the year to which they relate.		Destroy
J7	Annual/Corporate Reports (Background papers)	3 years		Destroy
	Annual/corporate reports (published report)	3 years		PRONI should be added to the circulation list and a copy of each published Annual / Corporate Report sent to them.
J8	Audit (see also GMGR F5 and F6) Audit Standards In house consultancy and advice Planning	 10 years after closure of last part 5 years (after closure of last part) 6 years (after closure of last part)	 Standing documentation and reference requirements Audit Strategy 3-5 years EQA every 5 years	 Destroy PRONI Appraisal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
J9	Business Plans, Corporate Plans and Strategic Plans.	20 years		Destroy PRONI should be added to the circulation list and a copy of each of the organisations overall plans sent to them.
J10	Clinical Trials	For Clinical Trials see the MHRC guidance at Good clinical practice for clinical trials http://www.ct-toolkit.ac.uk/ http://ec.europa.eu/health/files/eudralex/vol-1/dir_2003_63/dir_2003_63_en.pdf EU Regulation No. 536/2014 on clinical trials on medicinal products which was published in the Official Journal of the European Union on 27 May 2014 ⁸		
	Advanced Medical Therapy Research Master File	30 years	https://www.gov.uk/guidance/advanced-therapy-medicinal-products-regulation-and-licensing	PRONI Appraisal
	Trial Master File (responsibility of Sponsor & Chief Investigator to ensure that documents are retained)	Five years after the conclusion of the trial Where the retention period for a specific record type e.g. pharmacy worksheets subject to product liability, is greater than that stated of a Trial Master File, the longer retention period should apply.	Regulation 31A(7) of the Medicines for Human Use (Clinical Trials) Regulations 2004 (as inserted by regulation 18 of the Medicines for Human Use (Clinical Trials) Amendment Regulations 2006 http://www.ct-toolkit.ac.uk/routemap/trial-master-file http://ec.europa.eu/health/files/eudralex/vol-1/dir_2005_28/dir_2005_28_en.pdf	PRONI Appraisal

⁸ the application of this Regulation is expected at some stage in 2018 and it is expected that the relevant retention periods will change.

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Research Ethics Committee Records	Five years after the conclusion of the trial.		Destroy under Confidential conditions
	Trial Subject's Medical Files (Sponsor & Chief Investigator's responsibility to ensure retained)	<p>There should be a flag or divider in health records for documents pertaining to research indicating that the patient has been recruited to a clinical trial or other research.</p> <p>Retain in accordance with applicable legislation and in accordance with the maximum period of time permitted by the hospital, institution or private practice.</p> <p>NB: Documents can be retained for a longer period, however, if required by the applicable regulatory requirements or by agreement with the sponsor. It is the responsibility of the sponsor to inform the hospital, institution or practice as to when the documents no longer need to be retained.</p>		Destroy
	Marketing authorisation (holders must arrange for essential clinical trial documents (including case report forms) other than subject's medical files, to be kept by the owners of the data):	<p>15 yrs after completion or discontinuation of the trial,</p> <p>or</p> <p>two years after the granting of the last marketing authorization in the European Community and when there are no pending or contemplated marketing applications in the European Community.</p> <p>or</p> <p>two years after formal discontinuation of clinical development of the investigational product.</p>	<p>Paragraph 5.2(c) of Annex 1 to Commission Directive 2001/83/EC (as amended by</p> <p>Commission Directive 2003/63/EC (implemented in UK by the Medicines for Human Use (Marketing Authorisations Etc.) Regulations 1994 (as amended by regulation 7 of the Medicines for Human Use (Fees and Miscellaneous Amendments) Regulations 2003)</p> <p>http://ec.europa.eu/health/files/eudralex/vol-2/a/vol2a_chap1_2013-06_en.pdf</p>	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	All other documentation pertaining to the trial (retention of documentation is the responsibility of the sponsor or other owner of the data)	Retain as long as the product is authorised.		Destroy
	Final Report (responsibility of sponsor or subsequent owner's to retain documents)	Five years after the medicinal product is no longer authorised.		PRONI Appraisal
	Data collected in the course of research	Retain for an appropriate period, to allow further analysis by the original or other research teams subject to consent, and to support monitoring by regulatory and other authorities.	Research Governance Framework for Health and Social Care – paragraph 2.3.5 Good Research Practice: Principles and Guidelines - (MRC Ethics Series, 2000, updated 2012 Medical Research Council (MRC) Policies and Resources for MRC Researchers Data Protection Act 1998 – Part IV, Section 33 (3)	Destroy
J11	Commissioning decisions			
	Appeal documentation	6 years from date of appeal decision		Destroy
	Decision documentation	6 years from date of decision		Destroy
J12	Contact details	1 year after details change or no longer required		Destroy

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

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
J14	Data Input Forms (where the data/information has been input to a computer system)	2 years		Destroy
J15	Departmental Enquiries	10 years - Normal Review Process		PRONI Appraisal
J16	Diaries			
	Chief Executive or equivalent	Review 5 years following the calendar year to which they relate		Destroy
	Minister and Ministers private secretary	See GMGR Section J31		See J31
	Diaries which contain details of staff travelling	6 years following the calendar year to which they relate		Destroy
	Diaries – professional e.g. health visitors, district nurses/midwives, social workers and Allied Health Professionals	2 years after the end of the year to which the diary relates. Patient specific information should be transferred to the patient record. Any notes made in the diary as an ‘aide memoire’ must also be transferred to the patient record as soon as possible.		Destroy
	Diaries (office)	1 year after the end of the calendar year to which they refer.		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
J17	Equality and good relations: documents created or used specifically for the purposes of meeting statutory duties placed on public bodies regarding the promotion of equality and good relations, inc. Equality Schemes and background documents; documents relating to the equality-screening of policies and Equality Impact Assessments; annual statements to the Equality Commission on the implementation of the duties; equality training plans and materials.	7 years		PRONI Appraisal
J18	Garden Parties and Public Functions	5 years		Destroy
J19	Governance and Quality Assurance/Controls Assurance Records			
	Annual report on the discharge of delegated statutory functions and corporate parenting report	3 years		Destroy
	Quality assurance records (e.g. Healthcare Commission, Audit Commission, King's Fund Organisational Audit, Investors in People, NIMDTA)	15 years		Destroy
	Controls Assurance Standards (published standards)	5 years		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Controls Assurance Exercise Documents (evidence created by organisation)	2 years		Destroy
	Assessment of performance against controls Assurance Standards (includes scores submitted to the Department)	5 years		Destroy
	Liaison between organisations relating to governance	5 years		Destroy
	Monitoring of performance by the Department	5 years		Destroy
	Records relating to internal organisational, team standards	5 years		Destroy
	Risk Registers	5 years after cancelled or superseded		Destroy
	Accountable Officer Records			
	<ul style="list-style-type: none"> Declaration and self assessment 	5 years		Destroy
	<ul style="list-style-type: none"> Records of auditing and monitoring 	5 years from formal approval of the audit.		Destroy
	<ul style="list-style-type: none"> Occurrence reports 	10 years		Destroy
	<ul style="list-style-type: none"> Records of concern and the assessment and investigation of concerns 	See GMGR Section A2 and A4 – A5		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Local Intelligence Network Records	Review the records (see Part 1 for guidance) after 10 years to consider whether the records should be destroyed or retained up to the death or end of working life of any individual concerned.		Destroy
	Medicines Regulatory Group (DoH) (previously Inspection and Enforcement Group)			
	<ul style="list-style-type: none"> Inspections 	5 years from the date of the inspection	Addendum to DAO (DFP) 08/07	PRONI Appraisal
	<ul style="list-style-type: none"> Investigations 	10 years (see GMGR Section F25)	Addendum to DAO (DFP) 08/07	PRONI Appraisal
	Regional Mortality and Morbidity Review System			
	<ul style="list-style-type: none"> Multi-Disciplinary Team – Review Meetings 	See GMGR J3		PRONI Appraisal
	<ul style="list-style-type: none"> Outcomes of the Multi-Disciplinary Team – Review Meetings: Records of concern and the assessment and investigation of concerns 	<p>Where the outcome is training related see GMGR J58, L6 and L60</p> <p>Where the outcome is related to personnel see GMGR L13 and L14</p> <p>Where Litigation is involved see GMGR I1</p> <p>See GMGR Section A2 and A4 – A5</p>		PRONI Appraisal
	Records created within the Electronic Care Record	See GMGR G73		

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
J20	Guidance and Circulars			
	received by organisations (e.g. from the Department)	Until cancelled or superseded		Destroy
	Creator's background papers	See GMGR Section J37		Destroy
J21	Honours	7 years		Destroy
	Awards and prizes	7 years		Destroy
J22	Hospital (trust) services i.e. service that the Trust provides e.g. catering, hotel services.	10 years		Destroy
J23	Hospitality			
	Gifts and Hospitality Registers including the offers of gifts	6 years	DAO(DFP)10/06 Acceptance and Provision of Gifts and Hospitality DFP Guidance on the Acceptance and Provision of Gifts and Hospitality	Destroy
	Catering forms	6 years		Destroy
	Guidance on the provision and acceptance of gifts	See GMGR Section J20	HSS(F) 49/2009 Gifts and Hospitality	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
J24	Human Rights: documents created or used specifically for the purposes of meeting obligations arising from the Human Rights Act 1998 and various International Conventions and Treaties. Inc. training materials, inputs to UK updates, responses to concluding observations.	As per GMGR J17		
J25	Incoming mail – records of	3 years		Destroy
J26	Information Access			
	Data Protection Act and Access to Health Records- Subject Access Requests – record of requests	3 years after last action		Destroy
	Freedom of Information and Environmental Information Request case file records, detailing the FOI request, the consideration of possible exemptions and subsequent appeals.	3 years after last action.		Destroy
	Monitoring records. Statistical data about the number of requests and outcomes.	10 years		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Records relating to Data Sharing arrangements between organisations including Data Access Agreements Datasets released under a Data Access Agreement	7 years after the agreement expires Delete in accordance with the instruction in the agreement	DoH & HSC Protocol for sharing service user information for secondary purposes Department of Health	Destroy
J27	Legislation			
	Actual sealed copy		Paragraph 9.1.4 of The Executive Office's Handbook on Subordinate Legislation advises the "Original of a Statutory Rule is retained permanently by the Department in a secure place." The DoH Departmental Records Officer has approved that all Statutory Rules and Sealed Directions should be sent to PRONI	Transferred to PRONI within 3 months
	Background papers			
	<ul style="list-style-type: none"> Primary Legislation 	Permanent Preservation		Permanent Preservation by the Department
	<ul style="list-style-type: none"> Subordinate legislation 	Review 20 years. Papers should be considered for destruction if the legislation has been superseded		PRONI Appraisal
	<ul style="list-style-type: none"> Administrative records associated with legislative policy development 	5 years after closure (Closure means 4 months after the legislation is made)		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	<ul style="list-style-type: none"> Administrative records associated with legislative general administration 	1 year after legislation made		Destroy
J28	Library Services			
	Copyright declaration forms	6 years	Copyright, Designs and Patents Act 1988	Destroy
	Acquisition, Catalogues Circulation Customer Services, Advice and Guidance	2 years		Destroy
J29	Mailing lists	1 year after list changes or no longer applicable		Destroy
J30	Manuals – policy and procedure (administrative and clinical, strategy documents)	10 years after life of the system (or superseded) to which the policies or procedures refer		PRONI Appraisal
J31	Ministerial, Permanent Secretary and Chief Executive Records			
	<p>Assembly Questions(AQ), Parliamentary Questions(PQ) MLA/MP Enquiries</p> <p>These documents include all information provided by the organisation in response to a AQ/PQ (e.g. background note to the Minister or the Minister may amend the response) all of which may not be used in the response and therefore it will not be in the public domain.</p>	5 years	The National Archives guidance on the Management of Private Office Papers	<p>Electronic - Permanently preserve,</p> <p>Paper – PRONI Appraisal</p>

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

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Ministers Diary (paper diary or electronic diary): these should be kept up to date to reflect the actual appointments that took place and this should be the record that is retained Ministers notebooks	Pass to the Departmental Information Manager at the end of a minister's tenure in Office.	The National Archives guidance on the Management of Private Office Papers This reflects guidance issued by Sir Robin Butler in his letter of 27 September 1995 to Sir Terence Burns. See Appendix A of the National Archives guidance on the Management of Private Office Papers.	The DIM should transfer all electronic records to PRONI and request PRONI to appraise any paper records.
	Private secretary's notebooks: Any detail from notebooks that should be retained should be transferred to the Official Record	6 months	The National Archives guidance on the Management of Private Office Papers	Destroy
	Records of formal meetings with outside interest groups /lobbyists	Pass to the Departmental Information Manager at the end of a minister's tenure in Office. The DIM should transfer all electronic records to PRONI and request PRONI to review any paper records.	Recommendations 27 and 28 of the Sixth Report of the Committee on Standards in Public Life (CMD 4817) Governments response to the Sixth Report of the Committee on Standards in Public Life (CMD 4817) https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/260853/4817.pdf	Electronic - Permanently preserve, Paper – PRONI Appraisal
J32	Organisational Charts	2 years after cancelled or superseded		Destroy
J33	Patient/customer information leaflets	Retain for 10 years after the policy or procedure to which the leaflet refers has been abandoned or superseded		Destroy
J34	Patient/ client/ customer surveys	2 years		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
J35	Phone Message Books	1 years NB Any clinical information should be transferred to the patient health record		Destroy
J36	Photographs Image Library records	See GMGR Section J38		Destroy
J37	Policy, procedures and guidelines – Actual Policies background papers relating to the development of the policy, procedure or guideline, including Cross Border Initiatives,	A copy of all organisational policies must be retained permanently as a reference. Organisations may decide to retain these within their libraries. 6 years following the revision of the policy or procedures. Appraise at change/ revision and at appropriate appraisal times.		Retain Permanently within the Organisation. PRONI Appraisal
J38	Press and Public Relations Records			
	Media Briefing	7 years		Destroy
	Official Briefings – responses Briefing requests and their responses from private offices, select and standing committees	See GMGR Section J31 Pass to the Departmental Information Manager at the end of a minister's tenure in Office. The DIM should transfer all electronic records to PRONI and request PRONI to review any paper records.	The National Archives guidance on the Management of Private Office Papers	Permanently preserve electronic, Paper – Appraisal by DIM and PRONI
	Photographs Image Library records	5 years	National Archives Records Management Retention Scheduling Press and Public Relations Records	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Press Conference reports	7 years	National Archives Records Management Retention Scheduling Press and Public Relations Records	Destroy
	Press Cuttings	28 Days	National Archives Records Management Retention Scheduling Press and Public Relations Records http://www.nlamediaaccess.com/default.aspx?tabid=150	Destroy
	Press Releases	7 years	National Archives Records Management Retention Scheduling Press and Public Relations Records	Destroy
	Public consultations	5 years Where the consultation comments have influenced amendments to the policy, procedure or guidance the record should form part of the background papers and be retained as appropriate (see GMGR J37)		PRONI Appraisal
	Reports on media/public relations, correspondence with media, press reports	7 years	National Archives Records Management Retention Scheduling Press and Public Relations Records	PRONI Appraisal
	<u>Special Events</u> Correspondence and papers Reports Visitors books Calendars, Brochures and guides	7 years 7 years See GMGR E28 (3 years) 3 years	National Archives Records Management Retention Scheduling Press and Public Relations Records	

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Speeches and Interviews – preparation and delivery of speeches and interviews on behalf of ministers, permanent secretary, and chief executives as well as other officials.	For ministerial records see GMGR Section J31 Pass to the Departmental Information Manager at the end of a minister's tenure in Office. The DIM should transfer all electronic records to PRONI and request PRONI to review any paper records. For all others 4 years. The DIM should transfer all electronic records to PRONI and request PRONI to review any paper records.		Permanently preserve electronic, Paper – PRONI Appraisal
J39	Project Records			
	Project proposals -approved -rejected or deferred	10 years after completion of project 5 years after completion of project		PRONI Appraisal
	Project Initiation Documents and supporting documentation including business cases	10 years after completion of the project	Records Management Retention Scheduling - Project Records	PRONI Appraisal
	European Projects	15 years	Article 90 of the Council Regulations (EC) No 1083/2006 requires that supporting documents regarding expenditure and audit should be kept available for a period of seven years following the closure of the Programme.	PRONI Appraisal
J40	Project files (excluding estates)			
	Project files (over £100,000 on termination, including abandoned or deferred projects)	Review – 6 years after project completed	Records Management Retention Scheduling - Project Records	PRONI Appraisal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Project files (less than £100,000 on termination include)	Review – 2 years after project completed	Records Management Retention Scheduling - Project Records	PRONI Appraisal
J41	Publications internal, corporate identity, translations	When superseded See GMGR Section J33 for Patient/customer Information leaflets		Destroy
J42	Publication Scheme background papers relating to the development of the Publication Scheme	10 years. Close when Publication Scheme finalised.		Destroy
	Publication Scheme - finalised	Permanently within the HSCB/Trust/Agency		Permanent Preservation by the Organisation
J43	Records related to recognised charter marks, standards, models e.g. investors in people	Until standard or charter mark has been reassessed or 10 years		Destroy
J44	Record of custody and transfer of keys	6 years		Destroy
J45	Register of Board members' and Senior Managers' interests	6 years after the person leaves the organisation		Transfer to PRONI
J46	Registered Staff Lists	1 year		Destroy
J47	Reports (major)	30 years		Transfer to PRONI
J48	Records Management			
	Disposal			

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

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Records relating to the transfer of files to off-site storage	2 years after the records are disposed of		Destroy
	Records relating to the retrieval of files from off-site storage	2 years		Destroy
	Records relating to contracts with storage providers	6 years from the end of the contract		Destroy
	General Management			
	Disaster planning records	See A3		Destroy
	Documentation of record series	Preserve permanently for series from which records have been transferred to PRONI. Destroy when all records in the series have been destroyed.		Destroy
	Documents more than 100 years old	Any records currently held should be referred for a special PRONI Review		Special review by PRONI
	General administrative records, including routine correspondence relating to the provision of information management services	2 years		Destroy
	Information Surveys record audits and registry inspections	5 years		Destroy
	Records relating to the control of record keeping systems	When the system is superseded	Information management records retention schedule	Destroy
	Security of records	5 years		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
J49	Research and development records (scientific, technology, medical and other)	Review 5 years after the research has been completed. Where possible review of this material should be made in consultation with medical professionals involved in the trials.		PRONI Appraisal
J50	Requests for access to records, other than Freedom of Information or subject access requests	6 years after last action		Destroy
J51	Research and development (organisation) i.e. all the organisation's records associated with research and development and not individual trial records or information on patients.	30 years	Medical Research Council	PRONI Appraisal
J52	Security Pass	Retain current only		Destroy
J53	Security policy covering the correct handling and safekeeping of Disclosure Information in line with Access NI Code of Practice (See also GMGR Section L18)	See GMGR Section J37	Access NI Code of Practice	Destroy
J54	Stock Control reports Stock Orders and Non Stock Orders	2 years following the end of the financial year to which they relate		Destroy
J55	Stores records - major (stores ledgers etc.)	6 years following the end of the financial year to which they relate		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
J56	Stores records - minor (requisitions, issue notes, transfer vouchers, goods received, books etc.)	2 years following the end of the financial year to which they relate		Destroy
J57	Supplies records - minor (e.g. invitations to tender and inadmissible tenders, routine papers relating to catering and demands for furniture, equipment, stationery and other supplies)	2 years following the end of the financial year to which they relate		Destroy
J58	Training Records (see also GMGR L60)			
	Training attendance lists	<p>5 years for non-clinical training</p> <p>10 years for all clinical training</p> <p>A record of attendance by an individual at a training course should be transferred to their personal record and retained as per GMGR L60.</p>		Destroy
	Training evaluation - general feedback provided at the end of training by the trainee	<p>2 years</p> <p>Where the evaluation has resulted in a major change to the training materials then it should be retained for the same length of time as the materials (see below)</p>		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Training materials - manuals, videos, photographs created for the purposes of training staff	<p>Until the course finishes or the course content changes plus 8 years</p> <p>Where the subject of the training material relates to a professional matter retain for 25 years after the course content changes. Where the training material relates to NIFRS the retention period is 40 years.</p>		Destroy
	Training Plans	3 years		Destroy
J59	Trust documents without permanent relevance/not otherwise mentioned	6 years		Destroy
J60	Unpublished material of the history of the Organisation or its predecessors, the organisation and procedures.	10 years - Normal Review Process		PRONI Appraisal

K. Work Area - Pathology

Documents, Records, Specimens and Preparations - Transfusion Laboratories

[K1](#) Pathology Records

[K2](#) Forensic Material Criminal Cases

[K3](#) Protocols of Standard Operating

[K4](#) Records of Serious Events

[K5](#) Annual Reports (where required by the Blood Safety and Quality Regulations, 2005)

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
K1	Pathology Records	Complete guidance on the retention of Pathology Records is contained within The Royal College of Pathologists - The retention and storage of Pathological records & specimens (5th Edition, 2015) This guidance should be followed. Organisations should ensure a copy of this guidance is downloaded and made available to staff.	The Royal College of Pathologists - The retention and storage of Pathological records & specimens 5th Edition, 2015) Human Tissue Act 2004Human Tissue Act's Code of Practice 5, Disposal of Human Tissue http://www.hta.gov.uk/legislationpoliciesandcodesofpractice/codesofpractice/code5disposal.cfm EU Directive 2002/98/EC The Blood Safety and Quality Regulations 2005 (SI 2005 No. 50)	Records should be destroyed with the exceptions listed below
K2	Forensic Material Criminal Cases	Permanently Preserve (not part of the Health Record)	Para 157 The Royal College of Pathologists – The retention and storage of Pathological records & specimens 5th Edition, 2015)	Permanently Preserve
K3	Protocols of Standard Operating	30 years	Para 39 The Royal College of Pathologists – The retention and storage of Pathological records & specimens 5th Edition, 2015)	PRONI Appraisal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
K4	Records of Serious Events	15 years	Para 153 The Royal College of Pathologists – The retention and storage of Pathological records & specimens 5th Edition, 2015) The Blood Safety and Quality Regulations 2005 (SI 2005 No. 50)	PRONI Appraisal
K5	Annual Reports (where required by the Blood Safety and Quality Regulations, 2005)	15 years	Para 154 The Royal College of Pathologists – The retention and storage of Pathological records & specimens 5th Edition, 2015)	PRONI Appraisal

L. Work Area - Personnel

This section covers the information held on individuals, commonly called Personnel Files. The records held in Personnel Files cover six broad areas: Employment and career, Health, Pay, Pension, Welfare, and Security.

All six areas of information may not be held on one central file but may be retained as separate collections. The retention of the records should follow the guidelines regardless of how, or on what medium, the records are held. Organisations are free to seek their own legal advice where there are cases of doubt. A personnel record can be kept longer than the recommended retention period if this is in accordance with legal advice. These retention periods are based on the guidance issued by the National Archives and endorsed by Cabinet Office. Both Medical Staff Records and Agency locum staff records should be treated as Personnel and, where created, retained accordingly.

[L1](#) Agenda for Change documentation

[L2](#) Annual/ Appraisal or Summary of Performance

- Reports/documentation
- Chief Executive/Directors Annual/Assessment Reports
- Assessment Report where appeal or legal proceedings are underway
- Report of Appeal
- Assessment/ Performance Appraisal Interview/meeting Sheet
- Assessment of Board Members (by Chairman)
- GP Appraisal Appraisee / Appraiser Records

[L3](#) Annual Leave

- Cards
- Annual leave records
- Copy of Annual leave entitlement

[L4](#) Attendance Book/Register

[L5](#) Building Society references

[L6](#) Career History

- Career Development

[L7](#) Change of grade notification

[L8](#) Clinical Excellence database records (pensionable)

[L9](#) Commendations

[L10](#) Consultants, senior staff (records relating to the recruitment of)

[L11](#) Current address details

[L12](#) Decree absolutes

[L13](#) Disciplinary Records

- Papers relating to disciplinary action
- Alert Letters for Health and Care Professionals
- Papers relating to the investigation and determination by the Regional HSC Board

[L14](#) Doctors and Dentists – records regarding concerns about conduct, health or performance

[L15](#) Driving checks

[L16](#) Duty rosters clock cards, time sheets

[L17](#) Efficiency and Effectiveness

[L18](#) Employment checks

- Access NI checks with effect from April 2008
- A record should be kept on the personnel file of:
 - The date of the disclosure
 - The name of the subject of the disclosure
 - The type of the disclosure namely, whether it is the Basic, Standard or Enhanced type
 - The position which the disclosure was applied for
 - The unique number that was issued by Access NI for that Disclosure; and The recruitment decision taken
- National Security Vetting (NSV)

[L19](#) Employee Welfare Reports and Papers

[L20](#) Health declaration

[L21](#) Health referrals

[L22](#) History records of pay scales

[L23](#) HRMS

[L24](#) Housing advance

[L25](#) Income Tax form P45

[L26](#) Industrial relations (not routine staff matters), including industrial tribunals

[L27](#) Interview documentation successful

[L28](#) Job advertisements successful

[L29](#) Job applications successful

[L30](#) Job Applications – Unsuccessful

[L31](#) Job descriptions

[L32](#) Leavers dossiers

[L33](#) Letter of appointment/contracts

[L34](#) Marriage certificate and documentation relating to civil registration

[L35](#) Medical/Self certificates unrelated to Industrial Injury

[L36](#) Non-Executive Directors/Public Appointments

[L37](#) Nurse training records

[L38](#) Overpayment documentation

- Performance Pay
- Special Bonus Papers
- Third party client/advances in lieu of pay
- Eyesight test documents

[L39](#) Papers relating to any injury on duty

[L40](#) Part-time/Job sharer/Term time applications, decisions

[L41](#) Personal Payroll History:

- Records of pay
- Performance pay
- Overtime pay
- Allowances (incl. deputising and substitution)
- Pay enhancements
- Other taxable allowances
- Payment for untaken leave
- Reduced pay
- No pay
- Statutory sickness/maternity leave and pay
- Complete sickness absence record

[L42](#) Pension Forms (all)

[L43](#) Protective Personal Equipment (PPE)

[L44](#) Qualifications and References

[L45](#) Records of Location of Overseas Service

[L46](#) Records of Previous Service

[L47](#) Resignation/termination/retirement letters

[L48](#) Return to Work Interviews

[L49](#) Security Personnel Files

[L50](#) **Special Leave**

[L51](#) Staff car parking permits

[L52](#) Staff photographs – held in personal file

[L53](#) Statutory maternity and statutory sick pay documents

[L54](#) **Substances Hazardous to Health Records**

[L55](#) **Superannuation**

[L56](#) Tax forms – change of tax code

[L57](#) Temporary variation forms

[L58](#) Trade Union Schedules

[L59](#) Training plans

[L60](#) Training records – all staff

[L61](#) Transport (staff pool car documentation)

[L62](#) Volunteer records

[L63](#) Wages/Salary records

[L64](#) Working Time Directive opt out forms

[L65](#) Workforce Planning

[L66](#) Written Particulars of Employment

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
L1	Agenda for Change documentation (e.g. job descriptions, comment sheets, panel Q&As)	Retain for 15 years after the case has been closed subject to all appeal procedures		Destroy
L2	Annual/ Appraisal or Summary of Performance			
	Reports/documentation	5 years after end of current performance year	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
	Chief Executive/Directors Annual/Assessment Reports	Retain permanently in personal file	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
	Assessment Report where appeal or legal proceedings are underway	5 years from the result of the appeal	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
	Report of Appeal	5 years	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
	Assessment/ Performance Appraisal Interview/meeting Sheet	5 years	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
	Assessment of Board Members (by Chairman)	7 years	http://www.afmdni.gov.uk/pubs/DAOs/daodfp0807.doc	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	GP Appraisal Appraisee / Appraiser Records	6 years after the appraisal year to which it relates.	In line with revalidation periods	Destroy
L3	Annual Leave			
	Cards (held by individual members of staff)	2 years	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
	Annual leave records	2 years after end of current leave year	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
	Copy of Annual leave entitlement	As part of the contract of employment until age 100	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L4	Attendance Book/Register	2 years		Destroy
L5	Building Society references. Salary requests from bank/building society pay details	6 months from closure of the request		Destroy
L6	Career History – Consolidated record of whole career and location details Inc. Promotions, temporary promotion and/or substitution documentation, transfer documents, training history, recruitment, appointment and/or promotion board selection papers	Until age 100	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Career Development	See GMGR L66	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L7	Change of grade notification	Until age 100	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L8	Clinical Excellence database records (pensionable)	100 years see also GMGR L38		Destroy
L9	Commendations	Until age 100		Destroy
L10	Consultants, Senior staff (records relating to the recruitment of)	5 years	NHS (Appointment of Consultants) Regulations, good practice guidelines, page 11, para. 5.3	Destroy
L11	Current address details	6 years after employment has ended	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L12	Decree absolutes	Return originals to provider, retain copy until age 100	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L13	Disciplinary Records			
	Papers relating to disciplinary action of an individual which has resulted in any change to terms and conditions of service, salary, performance pay or allowances	Until age 100		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	<p><u>Alert Letters for Health and Care Professionals</u></p> <p>The record of the incident which has led to the concern</p> <p>Records of any disciplinary action taken by the organisation</p> <p>Records created by the Department (para) 17 HSC JNF(1)2010</p>	<p>Manage as per A2 and A4 - A5</p> <p>Managed as L13 above</p> <p>Managed as L13 above</p>	<p>Issue of Alert Letters for Health Care Professionals under investigation by HSC Employers HSC JNF(1) 2010</p>	<p>Destroy</p>
	<p>Papers relating to the investigation and determination by the Regional Health and Social Care Board (HSC Board), questioning whether chemists, dentists, ophthalmic medical practitioners or opticians have failed to comply with their terms of service. Also papers relating to any appeal against HSC Board decisions.</p>	<p>6 years following the conclusion of investigation and any subsequent appeals</p>	<p>The Health and Social Care (Disciplinary Procedures) Regulations (NI) 2014 (S.R. No. 267)</p>	<p>Destroy</p>
L14	<p>Doctors and Dentists – records regarding concerns about conduct, health or performance</p>	<p>Until age 100</p>		<p>PRONI Appraisal</p>
L15	<p>Driving checks – records confirming a person's suitability to drive</p>	<p>Records relating to a person's suitability to drive should form part of the personnel record and retained as per GMGR L6</p>		
L16	<p>Duty rosters clock cards, time sheets</p>			

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Duty rosters clock cards, time sheets.	2 years	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
	Organisation or departmental duty rosters, not the ones held on the individual's record.	4 years after the year to which they relate	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
	Time Sheets (relating to a group or Department e.g. Ward where the timesheets are kept as a tool to manage resources, staffing levels)	6 months	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
	Timesheets (for individual members of staff)	2 years after the year to which they relate NB Timesheets (for all individuals including locum doctors) held on the personnel record are minor records – retain for 2 years.	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L17	Efficiency and Effectiveness Casework, National Fraud Initiative, Policy and Strategy Development, JEGS; JESP	7 years		Destroy
L18	Employment checks			

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	<p>Access NI checks with effect from April 2008 (see Glossary)</p> <p>original information and all copies</p> <p>(See also GMGR Section J53).</p> <p>Prior to these arrangements, checking processes were accommodated under PECS (1982 – March 2005, See Glossary), which was replaced by POCVA (April 2005 – March 2008, See Glossary)</p>	<p>Until final decision about the applicants suitability is determined. This should not exceed 6 months.</p> <p>Access NI will approve the retention of the disclosures for a longer period in exceptional circumstances and where there is a requirement to retain so that the RQIA can have access to fulfil its statutory duties.</p>	<p>Access NI Code of Practice in accordance with section 122(2) of the Police Act 1997</p> <p>Explanatory Guide to the Code</p>	<p>Destroy immediately by shredding, pulping or burning</p>
	<p>A record should be kept on the personnel file of:</p> <ul style="list-style-type: none"> • The date of the disclosure • The name of the subject of the disclosure • The type of the disclosure namely, whether it is the Basic, Standard or Enhanced type • The position which the disclosure was applied for • The unique number that was issued by Access NI for that Disclosure; and The recruitment decision taken 	<p>Until age 100</p> <p>The records should be signed and dated by a person of sufficient authority and seniority who could represent the organisation in court.</p>	<p>The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance</p>	<p>Destroy immediately by shredding, pulping or burning</p>
	National Security Vetting (NSV)			Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	<ul style="list-style-type: none"> • Copy of completed form • Copy of vetting certificate • Name of individual • Post held • Level of clearance • Staff Number • Vetting Reference Number • Date clearance granted <p>Date Clearance expires</p>	<p>Copy of form deleted six months after clearance at SC or CTC is granted. The vetting certificate is retained for:-</p> <ul style="list-style-type: none"> ○ 5 years after the individual has retired at the normal retirement age ○ 10 years after the individual has retired or left before the normal retirement age, but not exceeding a period of 5 years after the normal retirement age. ○ 1 year after the individual's death. Records deleted after clearance expires, or when employee no longer works for the Department. <p>Other records maintained by the ADSO are deleted on expiry of the clearance, or when individual is no longer employed by the Department.</p>	Cabinet Office guidance	
L19	Employee Welfare Reports and Papers	6 years from closure of case	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L20	Health declaration	Until age 100	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L21	Health referrals– including Medical Reports from doctors and consultants, any correspondence with the Occupational Health Service and all papers relating to the provision of critical incident/stress management processes	Until age 100	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
L22	History records of pay scales	Permanent		Retain permanently
L23	HRMS	Refer to individual record types in this section		Destroy
L24	Housing advance	6 years plus current financial year		Destroy
L25	Income Tax form P45	Until age 100		Destroy
L26	Industrial relations (not routine staff matters), including industrial tribunals	10 years - Normal Review Process		PRONI Appraisal
L27	Interview documentation successful	3 years following termination of employment	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L28	Job advertisements successful	3 years following termination of employment		Destroy
L29	Job applications successful	3 years following termination of employment		Destroy
L30	Job Applications – Unsuccessful			
	Documents	3 years from closure of competition		Destroy
	Interview Documentation	3 years from closure of competition		Destroy
	Note confirming that an Access NI check was carried out and offer of appointment withdrawn	Until final decision about applicants suitability is determined. This should not exceed 6 months.		Destroy
	Equality Monitoring returns	3 years		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
L31	Job descriptions <u>HSC</u>	3 years (following termination of employment where it relates to a person) Agenda for Change see L1		Destroy
	<u>Department</u> Job descriptions Senior Civil Service and analogous status posts	10 (following termination of employment)		PRONI Appraisal
	All other job descriptions	5 years after being finalised		Destroy
L32	Leavers dossiers (provided a summary retained)	6 years after subject leaves the service		Destroy
	Leavers dossiers Summary (retained on file)	Until age 100		Destroy
L33	Letter of appointment/contracts	Life of file – until age 100	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L34	Marriage certificate and documentation relating to civil registration	Return originals to provider Retain copy until age 100		Destroy
L35	Medical/Self certificates unrelated to Industrial Injury (see also GMGR Section L39)	4 years from end of period of sickness to which it relates	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
L36	Non-Executive Directors/Public Appointments CVs, all records relating to appointments, any performance papers held separately from appointment papers.	In the case of an individual holding appointments in more than one public body, each department/organisation should independently manage their own files in line with this guidance.	DAO (DFP) 08/07	
	Successful applicants	Review 7 years following term of office/appointment (including reappointment) Where a publicly funded organisation has been the subject of an investigation which has led to significant criticism or prosecution, retain for 10 years from the date of conclusion of the investigation or prosecution.	DAO (DFP) 08/07 ADDENDUM TO DAO (DFP) 08/07	PRONI Appraisal
	unsuccessful applicants	2 years following application		Destroy
L37	Nurse training records (from hospital-based nurse training schools prior to the introduction of academic-based training)	30 years		Destroy
L38	Overpayment documentation	6 years after repayment or write-off		Destroy
	Performance Pay	7 years		Destroy
	Special Bonus Papers	6 years plus current financial year		Destroy
	Third party client/advances in lieu of pay	6 years plus current financial year		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Eyesight test documents	Retain current documentation only	Health and Safety (Display Screen Equipment) Regulations (NI) 1992	Destroy
L39	Papers relating to any injury on duty	Until age 100	The National Archives – Employee and Personnel Records Good Practice Guidance (March 2006)	Destroy
L40	Part-time/Job sharer/Term time applications, decisions	Until age 100	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L41	Personal Payroll History: Records of pay Performance pay Overtime pay Allowances (Inc. deputising and substitution) Pay enhancements Other taxable allowances Payment for untaken leave Reduced pay No pay Statutory sickness/maternity leave and pay Complete sickness absence record	Until age 100	The National Archives – Employee and Personnel Records Good Practice Guidance (March 2006)	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
L42	Pension Forms (all)			
	Pension forms that relate to monies received, monies owed, payments made and administration of the HSC Pension Scheme	7 years	HMRC Technical Pension Notes for registered pension schemes under regulation 18 of SI2006/567 – ‘RPSM12300020 – Scheme Administrator Information Requirements and Administration for General Retention of Records’	Destroy
	Pensions estimates/awards	7 years	HMRC Technical Pension Notes for registered pension schemes under regulation 18 of SI2006/567 – ‘RPSM12300020 – Scheme Administrator Information Requirements and Administration for General Retention of Records’	Destroy
L43	Protective Personal Equipment (PPE)	<p>Records relating to the supply and receipt by staff, and maintenance of PPE should form part of the personnel record and retained as per GMGR L6</p> <p>Records relating to the buying and acquisition of PPE should be retained as per GMGR F11</p>	Personal Protective Equipment at Work Regulations 1992	Destroy
L44	Qualifications and References	6 years after employment has ended		Destroy
	Professional Qualifications (i.e.) medical, scientific, technical	Until age 100		Destroy
L45	Records of Location of Overseas Service	Until age 100		Destroy
L46	Records of Previous Service	Until age 100		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
L47	Resignation/termination/retirement letters	Until age 100	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L48	Return to Work Interviews	4 years		Destroy
L49	Security Personnel Files	5 years after leaving (if at normal retirement age) or 10 years after leaving (if before normal retirement age)	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L50	Special Leave			
	Application for special leave/study leave – Paid	7 years	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
	Application for special leave/study leave – Unpaid	Until age 100 or 7 years after date of death, if earlier	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
	Unpaid Leave periods (maternity leave etc.)	Until age 100 or 7 years after date of death, if earlier	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L51	Staff car parking permits	3 years		Destroy
L52	Staff photographs – held in personal file	Until age 100		Destroy as per Personal file
L53	Statutory maternity and statutory sick pay documents	6 years plus current financial year		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
L54	Substances Hazardous to Health Records			
	Monitoring exposure of employees to substances hazardous to health record	Where the record is representative of the personal exposures of identifiable employees for at 40 years or in any other case for at least 5 years from the date of the last entry made in it.	Control of Substances Hazardous to Health Regulations (Northern Ireland) 2003 (reg.10(5)) SI2002/2677	Destroy
	Health surveillance records of employees who are, or are liable to be exposed to a substance hazardous to health	40 years from the date of the last entry made in it	Control of Substances Hazardous to Health Regulations (NI) 2003 (reg.10(5))	Destroy
	Health surveillance records of employees who are, exposed to asbestos	40 years after last record	Control of Asbestos Regulations (Northern Ireland) 2007 (reg. 22)	Destroy
	Health surveillance records of employees who are, exposed to compressed air	40 years from date of last entry	Work in Compressed Air Regulations (Northern Ireland) 2004/241	Destroy
	Health surveillance records of employees who are, exposed to lead	40 years from date the last entry made	Control of Lead at Work Regulations (Northern Ireland) 2003 (reg.10(5))	Destroy
	Records relating to doses of ionising radiation received by employees designated as classified persons	50 years from date of the last entry	Ionising Radiations Regulations (Northern Ireland) 2000 (reg. 21)	Destroy
	Health surveillance records of relevant employees engaged in work with ionising radiation	50 years from date of the last entry	Ionising Radiations Regulations (Northern Ireland) 2000 (reg. 21)	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Record of assessment of any accident or occurrence likely to result in a person receiving an effective dose of ionising radiation	50 years from date of the last entry	Ionising Radiations Regulations (Northern Ireland) 2000 (reg. 21)	Destroy
L55	Superannuation			
	Accounts	10 years	The National Archives – Records Management Retention Scheduling - Employee Personnel Records (March 2006)	Destroy
	Added voluntary contributions	Until age 100 or 7 years after date of death, if earlier	The National Archives – Records Management Retention Scheduling - Employee Personnel Records (March 2006)	Destroy
	Added years	Until age 100 or 7 years after date of death, if earlier	The National Archives – Records Management Retention Scheduling - Employee Personnel Records (March 2006)	Destroy
	Registers	10 years	The National Archives – Records Management Retention Scheduling - Employee Personnel Records (March 2006)	Destroy
	Death benefit nomination and revocation forms	7 years after date of death (Return originals to provider)	The National Archives – Records Management Retention Scheduling - Employee Personnel Records (March 2006)	Destroy
	Death certificates	Retain copy until 7 years after date of death (Return originals to provider)	The National Archives – Records Management Retention Scheduling - Employee Personnel Records (March 2006)	Destroy
L56	Tax forms – change of tax code	7 years		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
L57	Temporary variation forms	3 years after employment has ended		Destroy
L58	Trade Union Schedules	1 year after employment has ended		Destroy
L59	Training plans	see GMGR Section J58		Destroy
L60	Training records – all staff (This is a personal record of all training received and attended by individual staff members)	Age 100 or 6 years after employment has ended whichever is the later. For independent contractors the minimum retention should be the duration of employment plus 3 years, although it is recommended the duration of employment plus 6 years		Destroy
L61	Transport (staff pool car documentation)	3 years unless litigation ensues		Destroy
L62	Volunteer records	Organisations should obtain their own legal advice about the manner in which volunteers should be selected and vetted, the responsibilities they may be given, the extent to which they are supervised and how their conduct should be monitored etc. The legal advice may advise that the Organisation should treat volunteers for record retention purposes the same as employees. In such cases the appropriate classifications in GMGR should be followed. The legal advice might advise that the records do not need to follow the same retention purposes as employees and in such cases GMGR L29 is considered adequate.	See http://www.nhsemployers.org/Aboutus/Publications/Pages/VolunteeringPack.aspx	
L63	Wages/Salary records			
	Authorisation for deputising, substitution allowance and/or overtime/travel time claim	6 years plus current financial year		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Bank details – current only	6 years plus current financial year		Destroy
	Category analysis print outs	2 years after employment has ended		Destroy
	Clock cards and time sheets	2 years after employment has ended		Destroy
	Computer payroll printout	7 years after employment has ended		Destroy
	Cumulative adjustment forms	2 years after employment has ended		Destroy
	Payment analysis print outs	2 years after employment has ended		Destroy
	Payroll input forms	6 years plus current financial year		Destroy
	Variation of hours – calculation formula for individual actual hours worked is covered under Written Particulars of Employment	6 years after end of current financial year		Destroy
L64	Working Time Directive opt out forms	3 years after the opt out has been rescinded or has ceased to apply	The National Archives – Records Management Retention Scheduling Employee and Personnel Records Good Practice Guidance	Destroy
L65	<u>Workforce Planning</u> Records documenting the assessment, development, planning, management and analysis of workforce requirements, and the identification and evaluation of options for meeting these requirements	10 years		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
L66	<p>Written Particulars of Employment – Contracts of Employment</p> <p>Changes to terms and conditions, including change of hours, Official Secrets Acts forms, Oath of Allegiance forms</p>	Until age 100		Destroy

M. Work Area - Pharmacy

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

[M1](#) Accountable Officer Records

[M2](#) Extemporaneous worksheets

[M3](#) Patient Records

- Patient Medication Record
- Immunisation and vaccination records
- Minor Ailments Service
- Documented Clinical Interventions
- Sexual Health Record
- Smoking cessation

[M4](#) Prescriptions

[M5](#) Product Recalls

[M6](#) Requisitions

[M7](#) Accountable Officer Records

[M8](#) Clinical / Trials

[M9](#) External Orders and Delivery notes

- Picking tickets / ward delivery notes
- Ward / department requisition sheets & receipts
- Requests made by ward pharmacists
- Ward / Department Medicine Transfer Forms
- Returns Dockets (wholesaler and ward / department)

[M10](#) Medicines Information

- Provision of Information to another person e.g. drug information enquiry
- Clinical Interventions

[M11](#) **Patients' Own Drugs**

[M12](#) **Prescriptions**

[M13](#) **Product Defect Forms**

[M14](#) **Quality Assurance**

- Equipment validation / calibration
- Environmental monitoring results
- Quality Control documentation, certificates of analysis
- Medical gas testing

[M15](#) **Records for Ambulance Bags and Resuscitation boxes**

[M16](#) **Security**

[M17](#) **Staff signature lists**

[M18](#) **Stock checks and stock adjustments**

[M19](#) **Worksheets**

- Chemotherapy/ aseptics, Parenteral Nutrition, PCA worksheets, other Extemporaneous worksheets
- Production batch records
- Raw material request and control forms

[M20](#) **Controlled Drug (CD)**

- **Requisitions** (Hospital Pharmacy) (including ward / department copies)
- **Requisitions** (Community Pharmacy)
- HS21S
- Private- Schedules 2 & 3
- Private - Schedules 4 & 5

- Bearer's note
- Midwife's Supply Order
- Controlled Drugs Registers
- **Controlled drug prescriptions**
- **Controlled drug prescriptions**
- (Community Pharmacy)
- **HSC**
- **Private**
- Schedules 2 & 3
- Schedules 4 & 5
- Ward / Department CD Record Books (ward registers)
- Destruction of patients' own Controlled Drugs (record of destruction)

[M21](#) Competency / training records

[M22](#) Invoices

[M23](#) Medication Incidents

[M24](#) Patient Group Directions (PGDs)

[M25](#) Refrigerator temperature records

[M26](#) Record of Medicines posted / delivered to patients

- Record of patient consent for collection or delivery service

[M27](#) Responsible Pharmacist Pharmacy record

[M28](#) Superseded standard operating procedures

Community Pharmacy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
M1	Accountable Officer Records	See GMGR J19		
M2	Extemporaneous worksheets	6 years		Destroy
M3	Patient Records			
	Patient Medication Record	Adults 6 years after the conclusion of treatment. Children and young people – Until the patient's 25th birthday or 26th if the young person was 17 at the conclusion of treatment or 8 years after death.		Destroy
	Immunisation and vaccination records	See GMGR G57		
	Minor Ailments Service	Adults - 8 years after the conclusion of treatment Children and young people – Until the patient's 25th birthday or 26th if the young person was 17 at the conclusion of treatment or 8 years after death.		Destroy
	Documented Clinical Interventions	2 years		Destroy
	Sexual Health Record	see GMGR G49		Destroy
	Smoking cessation	8 years after the conclusion of treatment. Children and young people – Until the patient's 25th birthday or 26th if the young person was 17 at the conclusion of treatment or 8 years after death.		Destroy
M4	Prescriptions			

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Unlicensed Medicines / 'Specials' dispensing record	5 years	MHRA Guidance Note 14	Destroy
	Private Prescription Book	2 years after last entry (5 years after last entry for veterinary prescriptions)	Regulation 253 The Human Medicines Regulations 2012 Veterinary Medicines Regulations 2013 (SI 2033) Regulation 23	Destroy
	Private Prescriptions (for controlled drugs see M20) Veterinary prescriptions	2 years 5 years for original or copy of veterinary prescriptions	Regulation 253 The Human Medicines Regulations 2012 Veterinary Medicines Regulations 2013 (SI 2033) Regulation 23	Destroy
M5	Product Recalls			
	Those holding a wholesale dealer licence	Records must be maintained in accordance with the terms of the licence		Destroy
	Pharmacies not holding a wholesale dealer licence	Records should be retained in accordance with professional guidance		Destroy
M6	Requisitions			
	HS21S – copy of stock order	2 years recommended		Destroy
	Private stock requisitions (excluding veterinary requisitions)	2 years	Regulation 253 The Human Medicines Regulations 2012	Destroy

Hospital Pharmacy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
M7	Accountable Officer Records	See GMGR J19		Destroy
M8	Clinical / Trials	See J10 Where the retention period for a specific pharmacy record type e.g. pharmacy worksheets subject to product liability, is greater than that stated for a Trial Master File, the longer retention period should apply. See GMGR J10		
M9	External Orders and Delivery notes	GMGR F11 and F18		Destroy
	Picking tickets / ward delivery notes	3 months		Destroy
	Ward / department requisition sheets & receipts	GMGR J56		Destroy
	Requests made by ward pharmacists	2 years		Destroy
	Ward / Department Medicine Transfer Forms	2 years		Destroy
	Returns Dockets (wholesaler and ward / department)	2 years following the financial year to which they relate		Destroy
M10	Medicines Information			
	Provision of Information to another person e.g. drug information enquiry	8 years (enquiries relating to children, fertility, gynaecology and obstetrics should be kept for up to 25 years)		Destroy

	Clinical Interventions	Record to be added to patient's notes / Patient Medication Record and retain for the period of time appropriate to the patient/speciality. Within the hospital setting the duplicate should be kept for 2 years. Clinically significant interventions should be recorded directly on the patient's notes.		Destroy
M11	Patients' Own Drugs			
	Consent for and destruction of POD (excluding controlled drugs-see M20))	6 months		Destroy
	Overdose / poisoning drug records	3 years		Destroy
M12	Prescriptions			
	Chemotherapy / Cytotoxic	2 years after last chemotherapy treatment		Destroy
	Discharge, outpatient, skin clinic and private prescriptions, Parenteral Nutrition. CIVAS and Specialist Medicines Prescriptions.	2 years		Destroy
	Unlicensed Medicines / Dispensing record,	5 years	For supply of unlicensed medicines Requirement of MHRA Guidance Note No.14 .	Destroy
	Consultant authorisation letter	5 years		Destroy
	Immunoglobulin / blood products	See GMGR K		Destroy
M13	Product Defect Forms			

	Product Recall– DoH & Ward recall Records	5 years or in accordance with the requirements of a wholesale dealer licence, whichever period is longer– No legal / statutory requirements		Destroy
M14	Quality Assurance			
	Equipment validation / calibration	See GMGR D9		Destroy
	Environmental monitoring results	1 year after the expiry dates of products		Destroy
	Quality Control documentation, certificates of analysis	5 years or 1 year after expiry date of batch, whichever is longer.		Destroy
	Medical gas testing	Records retained throughout the lifetime of the installation and 2 years after installation has been modified or retested or closure of the facility.		Destroy
M15	Records for Ambulance Bags and Resuscitation boxes	1 year after the expiry of the longest dated item		Destroy
M16	Security			
	List of Users ID & Privileges	See GMGR H9		Destroy
	Departmental on-call records, duty rotas. (Records of community pharmacy rotas will be managed by HSCB)	See GMGR L16		Destroy
M17	Staff signature lists	Duration of Contract plus 1 year		Destroy
M18	Stock checks and stock adjustments	See GMGR J54		Destroy
M19	Worksheets			

	Chemotherapy/ aseptics, Parenteral Nutrition, PCA worksheets, other Extemporaneous worksheets Production batch records Raw material request and control forms	6 years Where product liability exists this is extended up to 11 years after expiry. For paediatric worksheets product liability extends to up to 28 years		Destroy
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All Pharmacy Disciplines

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
M20	Controlled Drug (CD)			
	Requisitions (Hospital Pharmacy) (including ward / department copies)	2 years	Misuse of Drugs Regulations (Northern Ireland) 2002	Destroy
	Requisitions (Community Pharmacy) HS21S Private- Schedules 2 & 3 Private - Schedules 4 & 5	Recommend a copy is retained for 2 years Recommend retain copy for 2 years Retain original for 2 years	Regulation 253 The Human Medicines Regulations 2012	Destroy
	Bearer's note	2 years		Destroy

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

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Ward / Department CD Record Books (ward registers)	11 years from last entry	Safer management of controlled drugs : the government's response to the fourth report of the Shipman Inquiry by Great Britain. Department Health.; Great Britain. Home Office.	Destroy
	Destruction of patients' own Controlled Drugs (record of destruction)	No legal requirement although it is recommended that Community Pharmacies retain them for 5 years and Hospital Pharmacies retain them for 7 years.		Destroy
M21	Competency / training records	See GMGR L60		Destroy
M22	Invoices	See GMGR F29		Destroy
M23	Medication Incidents	See GMGR A2 and A4 - A5		Destroy
	Records of internal pharmacy dispensing errors which are near misses and their associated statistics	One year plus current year (or longer if specified by professional guidance or organisational policy)		Destroy
M24	Patient Group Directions (PGDs)	See G83		Destroy
M25	Refrigerator temperature records	see GMGR E23		Destroy
M26	Record of Medicines posted / delivered to patients Record of patient consent for collection or delivery service	2 years from last entry	Supplementary Guidance for Pharmacists in Northern Ireland on the Provision of Prescription Collection and/or Delivery Services February 2011	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
M27	Responsible Pharmacist Pharmacy record	5 years	Regulation 5(4) of the Medicines (Pharmacies) (Responsible Pharmacist) Regulations 2008 (SI 2008/2789)	Destroy
M28	Superseded standard operating procedures	15 years		Destroy

N. Work Area - Public Safety

[N1](#) Audio tapes of calls requesting Fire Service Assistance e.g. 999 calls

- Incident Recording System developed prior to 2013
- Incident Recording System developed post 2013
- Incident – Operational Investigative Reports
- Fatality
- Full report, papers and evidence
- Report only
- Non Fatality
- Full report, papers and evidence
- Report only

[N2](#) Confirmation of suitability to drive

[N3](#) Fire Safety Premises including audit information

[N4](#) Health and Safety Validations

[N5](#) Home Fire Safety Checks

[N6](#) Hydrant returns (defect reports)

[N7](#) Operational Audits

- Audit records – original documents – Internal & External in any format (paper, electronic etc)
- Audit reports (internal and external)

[N8](#) Operational Debrief records

[N9](#) Policy and standard operating procedures

[N10](#) Personal protective equipment

[N11](#) Road Schemes/Road closures

[N12](#) Statutory Fire Inspections

[N13](#) Uniform Exchange Vouchers

[N14](#) Unwanted Fire Signal Files

[N15](#) Water Schemes

[N16](#) Operational Fire Fighter Training Records

[N17](#) NIFRS School Visits

[N18](#) Building CCTV

- Mobile command CCTV including Body Worn Video

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
N1	Audio tapes of calls requesting Fire Service Assistance e.g. 999 calls	See GMGR Section G9	The Limitation (Northern Ireland) Order 1989	Destroy
	Incident Recording System developed prior to 2013	The system should be retained until decommissioned or 10 years after the last record of an incident it contains whichever is the longer. Where litigation has commenced manage as per GMGR I1 When decommissioned retain in accessible format, including the Audit Trail, for the current longest retention period of the data stored in the system.	Records should be maintained, deleted or “put beyond use” (in line with the ICO’s guidance “Deleting Personal Data”) in accordance with a regular (at least five years) risk assessment by the Data Controller (or Joint Data Controllers). The risk assessment should be formally recorded and measured against the extant Data Protection legislation and Codes of Practice	Destroy
	Incident Recording System			

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	developed post 2013	Records of incidents maintained for 10 years	New systems must be able to delete all relevant records in accordance with the appropriate retention guidance. Any new systems must be built with privacy in mind as per ICO good guidance " privacy by design "	
	<p>Incident – Operational Investigative Reports</p> <p>Fatality</p> <p>Full report, papers and evidence</p> <p>Report only</p> <p>Non Fatality</p> <p>Full report, papers and evidence</p> <p>Report only</p>	<p>10 years</p> <p>25 years</p> <p>5 years</p> <p>10 Years</p>		PRONI appraisal
N2	Confirmation of suitability to drive	See GMGR L15/L6		Destroy
N3	<p>Fire Safety Premises including audit information</p> <p>Gazetteer - List of all premises within NI subject to inspection under the Fire and Rescue Services (NI) Order 2006</p>	5 years	Fire and Rescue Services (NI) Order 2006	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Full records of inspections List of premises inspected and outcomes	5 years 10 years from destruction of full records		
N4	Health and Safety Validations Stub Book Top copies of the stub Records of concern and the assessment and investigation of concerns	2 years from the date of the last stub in the book Where the outcome of the validation is training related see GMGR J58 , L6 and L60 Where the outcome of the validation is related to personnel see GMGR L13 and L14 Where Litigation is involved see GMGR I1 See GMGR A2 and A4 - A5		Destroy
N5	Home Fire Safety Checks Register of checks conducted and outcomes	3 years from date of check (all documents relating to the check) 10 years	The Fire and Rescue Services (Northern Ireland) Order 2006.	Destroy
N6	Hydrant returns (defect reports)	3 years		Destroy
N7	Operational Audits Audit records – original documents – Internal & External in any format (paper, electronic etc.)	See GMGR F5 (delete all personal data once report agreed)		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Audit reports (internal and external)	See GMGR F6 See GMGR E11 for Health and Safety Audits See also GMGR J8 and GMGR J19		
N8	Operational Debrief records	See GMGR A3		See A3 PRONI Appraisal
N9	Policy and standard operating procedures	See GMGR J37		Destroy
N10	Personal protective equipment	See GMGR L43		Destroy
N11	Road Schemes/Road closures	See GMGR N1		Destroy
N12	Statutory Fire Inspections	11 years	The Fire and Rescue Services (Northern Ireland) Order 2006, Article 20	
N13	Uniform Exchange Vouchers	2 years		Destroy
N14	Unwanted Fire Signal Files	5 years		Destroy
N15	Water Schemes	6 years		Destroy
N16	Operational Fire Fighter Training Records (Classified as Professional training)	See J58 (classify as professional training and retain as appropriate)		
N17	NIFRS School Visits All documents relating to the visit including details of who attended and proof that Access NI checks were conducted as per L18	20 years from date of visit.		
N18	Building CCTV	See E28 NIFRS guidance 30 days for all sites other than		

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
	Mobile command CCTV including Body Worn Video	<p>HQ</p> <p>retain HQ for 1 year as command centre it is part of the critical national infrastructure</p> <p>Copy of all footage from the incident to be copied from system and retained along with the appropriate incident record as per N1</p> <p>Images on Mobile CCTV system to be retained for no more than 3 months</p>		

O. Work Area - Regulation

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

[O1](#) Administrative records relating to the registration, inspection and running of the service.

[O2](#) Case records/notes from service provider

[O3](#) Adult Placement Agencies - administrative records

[O4](#) Adult Placement Carers

[O5](#) Adult Placement Carers - information and documents specified in Schedule 3

[O6](#) Adult Placement Agencies - individual's service users records/notes

[O7](#) Children's Homes - administrative records relating to the running of the children's home

[O8](#) Children's Homes - administrative records other

[O9](#) Children's Homes - case records

[O10](#) Day Care Settings

[O11](#) Day Care Settings - individual's case records/notes

[O12](#) Domiciliary Care Agencies

[O13](#) Domiciliary Care Agencies - administrative records

[O14](#) Domiciliary Care Agencies – service provider's individual's case records/notes

[O15](#) Independent Health Care Establishments and Agencies

[O16](#) Independent Health Care Establishments and Agencies, - medical record in relation to each patient

[O17](#) Nursing Agencies

[O18](#) Nursing Homes - administrative records pertaining to the running of the home

[O19](#) Nursing Homes - individual's case records/notes

[O20](#) Residential Care Homes - administrative records pertaining to the running of the home

[O21](#) Residential Care Homes - individual's case records/notes

[O22](#) Residential Family Centres – service provider's case records/notes

[O23](#) Residential Family Centres –administrative records

[O24](#) Voluntary Adoption Agencies records with respect to staff

[O25](#) Voluntary Adoption Agencies other records

[O26](#) Voluntary Adoption Agencies – complaints

[O27](#) Trainees

All records relating to:

- medical and dental trainees: their postings, assessments, courses, study leave, Less Than Full Time Training
- Doctors or Dentists In Difficulty / Careers Advice

[O28](#) Trainers

All records relating to:

- Medical, dental and consultant trainers, courses, workshops
- training posts and their approval

[O29](#) General Practice Retainer Scheme files

[O30](#) GP Appraisal Appraisee / Appraiser Records:

[O31](#) Continuing Professional Development

Information relating to courses offered by the Agency:

- Course Details
- Correspondence
- Booking Records
- Payment details
- GP Appraisal 'Form 6A's'
- Evaluation Feedback / Summaries

[O32](#) Information relating to:

- Deanery Visits to HSC Trusts and General Medical/Dental Practices
- GMC Visits to the Northern Ireland Deanery

[O33](#) Survey Reports

- GMC
- Deanery

[O34](#) Live register of all social care workers

[O35](#) Records Relating to the Registration of Social Workers and Social Care Staff

[O36](#) Records in Relation to the Regulation/Conduct Of Social Workers and Social Care Staff

[O37](#) Records related to

- information received about individuals eligible to register on the social care register but not yet registered and
- (ii) preliminary investigations into unregistered social care workers not leading to enforcement

[O38](#) Records in relation to the regulation of social work education and training

[O39](#) Records in relation to the regulation of post qualifying education and training for social workers

[O40](#) All records/materials function of registration and inspection for all regulated services

[O41](#) All records/materials ... function of inspection for schools which provide accommodation for children

[Q42](#) Duty of Quality Reviews with regard to services provided by HSC statutory bodies and their agents

[Q43](#) General Registration Enquiries

[Q44](#) Live register of all regulated services

[Q45](#) Preliminary investigations into unregistered services not leading to enforcement

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

Establishments and Agencies

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

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

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
O7	Children's Homes - administrative records relating to the running of the children's home, including a record in the form of a register of each child accommodated in the children's home and other records set out in Schedule 4.	Retain for at least 15 years from date of last entry, except for records of menus which need be kept only for one year.	The Children's Homes Regulations (Northern Ireland) 2005 – Reg.28 and Schedule 4 The Children's Homes Regulations (Northern Ireland) 2005	PRONI Appraisal
O8	Children's Homes - administrative records other e.g. the statement of purpose; children's guide; reports on the conduct of the home; reports on the assessment of quality of services including matters set out in Schedule 6 to the Children's Homes Regulations (Northern Ireland) 2005; improvement plans; and RQIA reports etc.	15 years from date of last entry,	The Children's Homes Regulations (Northern Ireland) 2005 – Reg. 28 & Schedule 6 The Children's Homes Regulations (Northern Ireland) 2005	PRONI Appraisal
O9	Children's Homes - case records (from referral to closure) maintained by the home in respect of each child accommodated in the children's home e.g. placement plan; care plans; reviews; and, in respect of each child, the information and other records set out in Schedule 3.	75 years from date of birth of the child to whom it relates or, if the child dies before attaining the age of 18, for a period of 15 years from the date of death of the child.	The Children's Homes Regulations (Northern Ireland) 2005 – Reg.27 and Schedule 3 The Children's Homes Regulations (Northern Ireland) 2005	Transfer to PRONI

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
O10	Day Care Settings e.g. day centres, adult centres, outreach schemes - administrative records relating to the running of the service e.g. statement of purpose; service user's guide; accounts; a copy of all inspection reports; employment records; duty roster; complaints and action taken; accidents/ incidents; food provided; and the other records specified in Schedule 5.	8 years from the date of the last entry.	The Day Care Setting Regulations (Northern Ireland) 2007 Reg. 19(2), Reg. 19(4) & Schedule 5	Destroy
O11	Day Care Settings - individual's case records/notes (from referral to closure) related to activity within the service, e.g. assessment of need and service user's plan; record of medicines; accidents/incidents; healthcare provision; correspondence, etc and the information, documents and other records specified in Schedule 4.	8 years from the date of the last entry.	The Day Care Setting Regulations (Northern Ireland) 2007 Reg. 19(1)(a), Reg. 19(4) & Schedule 4	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
O12	Domiciliary Care Agencies, e.g. home help, domiciliary, sitting services, in-home respite, family aide, etc. - administrative records relating to domiciliary care workers and service users; records relating to training and development of staff and other records specified in Schedule 4; and a record of each complaint, including details of the investigations made, the outcome, and any action taken in consequence.	8 years beginning on the date of the last entry	The Domiciliary Care Agencies Regulations (Northern Ireland) 2007 Reg. 21 & Schedule 4 For records of complaints Reg. 22(8)	Destroy
O13	Domiciliary Care Agencies - administrative records, e.g. statement of purpose; service user's guide; reports on the assessment of quality of services; improvement plans; inspection reports, etc.	8 years beginning on the date of the last entry	The Domiciliary Care Agencies Regulations (Northern Ireland) 2007 Reg. 21 & Schedule 4	Destroy
O14	Domiciliary Care Agencies – service provider's individual's case records/notes (from referral to closure) related to the individual/child/family receiving the service, e.g. care plan, detailed record of prescribed services (i.e. personal care and assessments of the need for such care), how services will be provided, contact records, records held by service users, etc.	8 years beginning on the date of the last entry	The Domiciliary Care Agencies Regulations (Northern Ireland) 2007 Reg. 21 & Schedule 4	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
O15	Independent Health Care Establishments and Agencies, i.e. independent hospitals; clinics and medical agencies - administrative records, e.g. register of patients; register of all surgical operations performed; register of all events which must be notified to the RQIA; a written record of suspected, alleged or actual incidents of abuse including details of the investigation, the outcome and action taken; all other records specified in Part II of Schedule 3 to the regulations; and a record of each complaint including details of the investigations made, the outcome and any action taken in consequence..	3 years beginning on the date of the last entry	The Independent Health Care Regulations (Northern Ireland) 2005 Regulation 21, Regulation 23(7) relating to complaints Part II of Schedule 3 to the regulations	PRONI Appraisal
O16	Independent Health Care Establishments and Agencies, - a comprehensive medical record in relation to each patient, which includes: (i) a contemporaneous note of all treatment provided to him; (ii) medical history and all other notes prepared by a health care professional about his case.	(a) For a patient who was under the age of 17 at the date on which the treatment to which the records refer was concluded - until the patient's 27th birthday. (b) For a patient who was aged 17 at the date on which the treatment to which the records refer was concluded - until the patient's 27th birthday. (c) For a patient who died before attaining the age of 18 - a period of 10 years beginning on the date of the patient's death. (d) For a patient who was treated for mental disorder during the period to which the records refer – a period of 20 years beginning on the date of the last entry in the record.	The Independent Health Care Regulations (Northern Ireland) 2005 Regulation 21 Part I of Schedule 3 to the regulations as amended by Regulation 2 (12) of the Regulation and Improvement Authority (Independent Health Care) (Fees and Frequency of Inspection) (Amendment) Regulations (Northern Ireland) 2011 (No. 17).	Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
		<p>(e) For a patient who was treated for mental disorder during the period to which the records refer and who died whilst receiving treatment – a period of 10 years beginning on the date of the patient's death</p> <p>(f) For a patient whose records relate to treatment by a general practitioner - a period of 10 years beginning on the date of the last entry.</p> <p>(g) All other cases - a period of 10 years beginning on the date of the last entry in the record.</p>		
O17	Nursing Agencies – records relating to the supply of nurses, training and development of staff and other records as set out in Schedule 4	8 years from the date of the last entry	The Nursing Agencies Regulations (Northern Ireland) 2005 Reg. 18 & Schedule 4	Destroy
O18	Nursing Homes - administrative records pertaining to the running of the home e.g. statement of purpose; patient's guide; accounts; employment records; duty roster; complaints and action taken; food provided; and other records as out in Schedule 4.	6 years from the date of the last entry	The Nursing Homes Regulations (Northern Ireland) 2005 Reg. 19(2), Reg. 19(4) & Schedule 4	PRONI Appraisal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
O19	Nursing Homes - individual's case records/notes (from referral to closure) related to activity within the home, e.g. assessments of need and patient's plan; medicines; accidents/incidents; contemporaneous note of all nursing provided; healthcare plan and provision; correspondence; and other records as out in Schedule 3.	6 years from the date of the last entry	The Nursing Homes Regulations (Northern Ireland) 2005 Reg. 19(1)(a), Reg. 19(4) & Schedule 3	PRONI Appraisal
O20	Residential Care Homes - administrative records pertaining to the running of the home e.g. statement of purpose; resident's guide; accounts; employment records; duty roster; complaints and action taken; food provided; and other records as out in Schedule 4.	6 years from the date of the last entry	The Residential Care Homes Regulations (Northern Ireland) 2005 Reg. 19(2), Reg. 19(4) & Schedule 4 Reg. 23(7)	PRONI Appraisal
O21	Residential Care Homes - individual's case records/notes (from referral to closure) related to activity within the home, e.g. assessments of need and associated care plans; medicines; accidents/incidents; contemporaneous note of all care and services provided; healthcare plan and provision, correspondence; and other records as out in Schedule 3.	6 years from the date of the last entry	The Residential Care Homes Regulations (Northern Ireland) 2005 Reg. 19(1)(a), Reg. 19(4) & Schedule 3	PRONI Appraisal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
O22	Residential Family Centres – service provider's case records/notes (from referral to closure) related to each child/family receiving the service, including the information, documents and other records specified in Schedule 3	15 years from date of last entry.	The Residential Family Centres Regulations (Northern Ireland) 2007 Reg. 22(1)(a), Reg. 22(3)(d) & Schedule 3.	PRONI Appraisal
O23	Residential Family Centres – administrative records pertaining to the operation of the establishment e.g. statement of purpose, residents guide, accounts, employment records, duty roster, complaints and action taken, food provided, inspection reports and other records as set out in Schedule 4.	15 years from date of last entry.	The Residential Family Centres Regulations (Northern Ireland) 2007 Reg. 22(2), Reg. 22(3)(d) & Schedule 4.	PRONI Appraisal
O24	Voluntary Adoption Agencies records with respect to staff i.e. records to be kept in relation to each person working for the purpose of the Agency as specified in Schedule 3.	15 years from the date of last entry	The Voluntary Adoption Agencies Regulations (Northern Ireland) 2010 Reg.18 & Schedule 3	Destroy
O25	Voluntary Adoption Agencies other records i.e. related to applicants, birthparents, children, panels and post adoption work	see P1 – P6 inclusive		PRONI Appraisal
O26	Voluntary Adoption Agencies – a written record of each complaint, including details of the investigation made the outcome and any actions taken in consequence.	10 years from the date the record is made	The Voluntary Adoption Agencies Regulations (Northern Ireland) 2010 Reg.13(3)	PRONI Appraisal

Northern Ireland Medical and Dental Training Agency

Ref	Record Type	Minimum Retention Period	Relevant legislation / Derivation	Final Action
O27	Trainees All records relating to: <ul style="list-style-type: none"> medical and dental trainees: their postings, assessments, courses, study leave, Less Than Full Time Training Doctors or Dentists In Difficulty / Careers Advice: 	See GMGR L60 - Age 100 or 6 years after employment has ended whichever is the later. For independent contractors the minimum retention should be the duration of employment plus 3 years, although it is recommended the duration of employment plus 6 years	After the doctor has finished training they may be employed as a consultant in a Trust and will be subject to appraisals and revalidation by the GMC.	Destroy
O28	Trainers All records relating to: <ul style="list-style-type: none"> Medical, dental and consultant trainers, courses, workshops training posts and their approval 	6 years after the completion of the training 6 years after recognition of the post for training has ended.		Destroy
O29	General Practice Retainer Scheme files	6 years after end of retainer scheme contact		Destroy
O30	GP Appraisal Appraisee / Appraiser Records:	See GMGR L2		

Ref	Record Type	Minimum Retention Period	Relevant legislation / Derivation	Final Action
O31	Continuing Professional Development Information relating to courses offered by the Agency: <ul style="list-style-type: none"> • Course Details • Correspondence • Booking Records • Payment details • GP Appraisal 'Form 6A's' • Evaluation Feedback / Summaries 	6 years after the course has ended	Takes into account revalidation and finance payment record retention timelines	Destroy
O32	Information relating to: <ul style="list-style-type: none"> • Deanery Visits to HSC Trusts and General Medical/Dental Practices • GMC Visits to the Northern Ireland Deanery 	See GMGR J19		Destroy
O33	Survey Reports			
	GMC	See GMGR J19 liaison between organisations relating to governance		Destroy
	Deanery	5 years		Destroy

Northern Ireland Social Care Council

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

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

Regulation and Quality Improvement Authority

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

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

P. Work Area - Social Care - Children and Adults

[P1](#) Applicant - Approved suitable

[P2](#) Applicant - Case files, which relate to inquiries which do not proceed

[P3](#) Birth Parents

[P4](#) Children's case records

[P5](#) Panel Records

[P6](#) Post adoption counselling

[P7](#) Carer's Assessments

[P8](#) Client case files

[P9](#) Case files from referral through to closure

[P10](#) Offenders/Individuals who may pose a risk to Vulnerable Adults

[P11](#) Referrals resulting in no further action

[P12](#) Serious Case Reviews (SCR)

[P13](#) Case files from referral through to closure/transfer

[P14](#) Case Management Reviews (CMR)

[P15](#) Offenders/Individuals who may pose a risk to Children - Notifications

[P16](#) Referrals resulting in no further action

[P17](#) Case files from referral through to closure/transfer, including gateway and UNOCINI records

[P18](#) Family Centres – Non-residential: service provider's case records/notes

[P19](#) Family Centres – Non-residential

[P20](#) Child Protection

[P21](#) Disabled children

[P22](#) Persons who act as child minders on domestic premises

[P23](#) Persons, other than the Trust, who provide day care for children under the age of 12

[P24](#) Every child placed in an authority's area and every child placed by an authority outside its area.

[P25](#) Register of foster parents

[P26](#) Community development promoting social inclusion

- European partnerships

[P27](#) Case records related to Children and Young People subject to public and private law applications and/or orders

[P28](#) Applicant - Records related to inquiries which do not proceed beyond initial information and counselling stages.

[P29](#) Applicant - Approved suitable

[P30](#) Applicant - Not approved

[P31](#) Records related to Private Foster Carers and children who are privately fostered.

[P32](#) Panel records, minutes and papers

[P33](#) Records in specified proceedings under the Children (Northern Ireland) Order 1995

[P34](#) Records in proceedings under the Adoption (Northern Ireland) Order 1989

[P35](#) Case Trial Bundles

[P36](#) Children who are placed (e.g. in foster care, a children's home, with their own families or otherwise accommodated)

[P37](#) Independent Visitors

[P38](#) Children and young people making the transition to independent living

[P39](#) Electronic Client Clinical Social Care Records Systems

[P40](#) Notifications from other Trusts/Authorities about missing/found persons

[P41](#) “One-Off records”

[P42](#) Student Information and social work training

Staff Supervision Non Case-Specific

[P43](#) Staff non case-specific supervision records

Adoption

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

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

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

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

Adult case records – Fieldwork: all Programmes of Care

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

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

Adult Protection/Safeguarding

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

Child Protection

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
P13	Case files from referral through to closure/transfer, including referrals; screening; initial assessment; pathway assessment; assessments; UNOCINI records; information relating to entry to and discharge from the child protection register; social work contacts; case conferences and reviews; core group meetings; 3rd party communications and reports (e.g. reports from other professionals/agencies/services); legal documentation; correspondence; case-specific supervision; and case summaries, including transfer/ closure summaries, etc.	75 years after closure or 15 years after death of child if child dies before attaining the age of 18.	Article 66 of the Children (Northern Ireland) Order 1995	PRONI Appraisal
P14	Case Management Reviews (CMR) – all records related to the CMR process from inception to publication and subsequent monitoring of action plans and learning.	75 years after the completion of the CMR Report or the decision not to proceed with a CMR.		PRONI Appraisal

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
P15	Offenders/Individuals who may pose a risk to Children - Notifications and records in relation to offenders and unadjudicated individuals; PECS and POCVA case files; Public Protection Arrangements Northern Ireland; Multi-Agency Risk Assessment Conferences; Circular HSS CC: 3/96 (Revised): Sharing to Safeguard, (September 2008) as amended 14 May 2009.	100 years from date of notification or 30 years after death. 10 years for situations where the referral is based on erroneous or false information.		PRONI Appraisal

Children in Need – Family Support

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

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
P17	<p>Case files from referral through to closure/transfer, including gateway and UNOCINI records; referrals; screening; records relating to family support; social work contacts; case conferences and reviews; 3rd party communications and reports (including relevant domiciliary support; early years; family centres; respite/short breaks records relating to individuals/ families); correspondence; case summaries, etc., including:</p> <p>(i) the support of disabled children and their families; and</p> <p>(ii) the support and supervision of children in need who are not looked after and who are not on the Child Protection Register and their families.</p>	Transfer to Adult Social Care, where appropriate, otherwise 20 years after closure of case.	Article 17 of the Children (Northern Ireland) Order 1995	PRONI Appraisal
P18	Family Centres – Non-residential: service provider's case records/notes (from referral to closure) related to each child/family receiving the service,	15 years from date of last entry.		PRONI Appraisal
P19	Family Centres – Non-residential: administrative records pertaining to the operation of the establishment e.g. statement of purpose, service user's guide, quality reviews etc.	15 years from date of last entry.		PRONI Appraisal

Children – Registers

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
P20	Child Protection.	75 years after creation of the record.	Co-operating to Safeguard Children, Chapter 5, 5.83 - 5.91	Transfer to PRONI
P21	Disabled children.	Entry in the register to be retained until the child to whom it relates reaches the age of 18 years.		Transfer to PRONI
P22	Persons who act as child minders on domestic premises.	Entry in the register to be retained for at least 8 years from the date on which the person to whom it relates ceases to be registered. See O1		Transfer to PRONI
P23	Persons, other than the Trust, who provide day care for children under the age of 12 on premises other than domestic premises.	Entry in the register to be retained for at least 8 years from the date on which the person to whom it relates ceases to be registered. See O1		Transfer to PRONI
P24	Every child placed in an authority's area and every child placed by an authority outside its area.	Until the child to whom the entry relates attains the age of 23, or if the child dies before attaining 23, the period of 5 years beginning with the date of his death.	The Arrangements for Placement of Children (General) Regulations (Northern Ireland) 1996 Reg. 10(5)	Transfer to PRONI
P25	Register of foster parents and others with whom a child is placed as specified in Reg. 12.	10 years from the date on which his approval is terminated, or until his death, if earlier.	The Foster Placement (Children) Regulations (Northern Ireland) 1996 Reg. 14(1)	Transfer to PRONI

Community Development/Health Improvement Initiatives & Partnerships

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
P26	Community development promoting social inclusion; health improvement; health and well being capacity building; regeneration projects; and cross-border initiatives	8 years after closure of the project.		PRONI Appraisal
	European partnerships,	See GMGR Section J39		See J39 PRONI Appraisal

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

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

Foster Care Records

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
P28	Applicant - Records related to inquiries which do not proceed beyond initial information and counselling stages.	40 years after last contact.		Destroy
P29	Applicant - Approved suitable: Records, which include applications; case records/notes; assessments; support/counselling; specified health and health related information; information received from 3rd parties; reviews; case summaries; any report, recommendation or decision; placement and post placement work; contact records with foster families, e.g. "foster care diaries", etc; and the matters set out in Regulation 13 of the Foster Placement (Children) Regulations (Northern Ireland) 1996	For at least 10 years from the date on which his approval is terminated, or until his death, if earlier.	The Foster Placement (Children) Regulations (Northern Ireland) 1996 Reg. 14(1)	Destroy
P30	Applicant - Not approved suitable/Uncompleted or Withdrawn: Records, which include applications; case records/notes; assessments; support/counselling; specified health and health related information; information received from 3rd parties; reviews; case summaries; contact records; any report, recommendation or decision, etc.	40 years from date of decision.		Destroy

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
P31	Records related to Private Foster Carers and children who are privately fostered.	10 years after closure of the case or until the death of the private foster carer, if earlier.		PRONI Appraisal
P32	Panel records, minutes and papers.	40 years from the date the record is created.		Transfer to PRONI

Guardian Ad Litem Records

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

Looked after Children & Leaving and After Care

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

Miscellaneous

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
P39	Electronic Client Clinical Social Care Records Systems (including the Audit Trails)	See GMGR G43		See GMGR G43
P40	Notifications from other Trusts/Authorities about missing/found persons - person unknown to the Trust or Service.	3 years after notification received		Destroy
P41	“One-Off records”, e.g. straightforward requests for advice, initial information and contact, financial assistance, benefit enquiries, telephone calls, housing enquiries, checks on behalf of other Trusts/ Social Services organisations, inappropriate/re-directed referrals requiring no further action.	3 years after closure/last contact		Destroy

Practice Learning- Students

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

Staff Supervision Non Case-Specific

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
P43	Staff non case-specific supervision records, e.g. discussion and decision-making with regard to management (competent and accountable performance); professional development; support; and engagement of the individual with the organisation.	Retain as per GMGR L2 , noting that records relating to the last five years of service should be retained until age 100		Destroy

Q. Work Area – Statistics

Q1 Aggregate Statistics

- Administrative datasets, survey datasets
 1. Administrative datasets include patient/client data extracted via the data warehouse or from Trust based systems via direct data access agreements.
 2. Survey data will include data either collected directly or commissioned by the Department along with definitions, questionnaires and other survey resources
- Statistical modelling datasets and technical reports derived from these datasets
- Data Input Forms (where the data/information has been input to a computer system).

Q2 Laboratory records other than those in GMGR Section K.

Ref	Record Type	Minimum Retention Period	Relevant Legislation / Derivation	Final Action
Q1	Aggregate Statistics (including Korner returns), regional annual statistical returns required by the Department, payment activity data	3 years from submission to Department. To be retained for 6 years by the Department		Destroy
	Administrative datasets, survey datasets 3. Administrative datasets include patient/client data extracted via the data warehouse or from Trust based systems via direct data access agreements. 4. Survey data will include data either collected directly or commissioned by the Department along with definitions, questionnaires and other survey resources 5. Statistical modelling datasets and technical reports derived from these datasets.	30 years		PRONI Appraisal
	Data Input Forms (where the data/information has been input to a computer system).	2 years		Destroy
Q2	Laboratory records other than those in GMGR Section K .	8 years		Destroy