

## Annex A - Record Retention Schedule

Policy, research and regulation				
Function	Example	Retention period (from date of creation unless stated)	Action	Retention Source
Research	Research Strategy	Superseded + <b>6 years</b>	Review	Business Need assessed in accordance with the National Archive advice on retention
	Management of internally-funded research (e.g. budgets, staff, etc.)	Completion of project + <b>6 years</b>	Destroy	Business Need assessed in accordance with the National Archive advice on retention
	Management of externally-funded research (e.g. budgets, staff, etc.)	Completion of project + <b>6 years</b> ( <i>unless a longer period is required by sponsor contract</i> )	Destroy	Limitation Act 1980
	Research outputs, outcomes, publications, etc.	Publication / delivery + <b>6 years</b>	Review and prepare for transfer to the National Archive	National Archives Collection Policy, Public Records Act 1958
Project management	Project approvals (including PIDs and specifications), changes, etc.	Completion of project + <b>5 years</b>	Destroy	Business Need assessed in accordance with the National Archive advice on retention
	Meetings of the Programme Board – agenda, minutes and supporting papers	Date of meeting + <b>5 years</b>	Review  Prepare Board and Senior Leadership Team minutes for transfer to the National Archive.	National Archives Collection Policy, Public Records Act 1958
Consultations	Consultations – working papers and individual responses	Consultation + <b>5 years</b>	Destroy	Business Need assessed in accordance with the National Archive advice on retention
	Consultations – decision documents	Consultation + <b>5 years</b>	Review	Business Need assessed in accordance with the National Archive advice on retention.
Regulatory powers	Exercise of enforcement powers and voluntary cancellations of designation	Last action + <b>5 years</b>	Review - Investigation reports to be prepared for transfer to the National Archive	National Archives Collection Policy, Public Records Act 1958.
	Exercise of statutory decisions (including designations as approved regulators and licensing	Superseded + 5 years	Review and prepare for	National Archives Collection Policy, Public Records Act 1958.

	authorities, changes to regulatory arrangements and PCF application)		transfer to the National Archive	
	Exercise of other statutory powers (including making rules and guidance)	Superseded + <b>5 years</b>	Review and prepare for transfer to the National Archive	National Archives Collection Policy, Public Records Act 1958.
Office of Legal Complaints and the Legal Ombudsman	All data generated in accordance with the exercise of functions under Part 6 to the Legal Services Act 2007, with the exception of HR arrangements	Last action + 5 years	Review and prepare for transfer to the National Archive	National Archives Collection Policy, Public Records Act 1958

Finance and procurement				
Description	Record	Retention period	Action	Citation
Financial management	Policies and procedures	Superseded + <b>5 years</b>	Review	Business Need assessed in accordance with the National Archive advice on retention.
Financial audit	Planning, conduct and reports of audits	Last action + <b>6 years</b>	Destroy	Limitation Act 1980
	Management’s response to audit recommendations	Last action + <b>6 years</b>		Limitation Act 1980
	Thefts, fraud, irrecoverable debts, over-payments, etc.	Last action + <b>5 years</b>	Destroy	Business Need assessed in accordance with the National Archive advice on retention.
Financial accounting	Expenditure and receipts and revenue	Current financial year + <b>4 years</b>	Destroy	Taxes Management Act 1970 (As amended by the Finance Act 2008)  Limitation Act 1980  Value Added Tax Act 1994 (as amended by the Finance Act 2008)
	Bank accounts	Closure of account + <b>6 years</b>	Destroy	Limitation Act 1980
	Standing orders and direct debits	Life of instruction + <b>6 years</b>	Destroy	Limitation Act 1980
	Preparation of Annual Report and Accounts	Current financial year + <b>6 years</b>	Destroy	Limitation Act 1980
	Annual Report and Accounts	<b>Permanent</b>	Retain	Business need assessed in accordance with the National Archive advice on retention.

Finance and procurement				
Description	Record	Retention period	Action	Citation
Management accounting	Management accounts	Current financial year + <b>6 years</b>	Destroy	Business need assessed in accordance with the National Archive advice on retention.
Budget management	Preparation of annual operating budgets	Current financial year + <b>6 years</b>	Destroy	Business need assessed in accordance with the National Archive advice on retention.
	Income and expenditure against annual operating budgets, and action taken to deal with variances	Current financial year + <b>6 years</b>	Destroy	Business need assessed in accordance with the National Archive advice on retention.
Funding administration	Administering annual funding allocations from appropriate statutory funding bodies (e.g. correspondence, invoices, etc.)	Current financial year + <b>10 years</b>	Destroy	Business need assessed in accordance with the National Archive advice on retention.
Tax management	Preparation and filing of tax returns	Current tax year + <b>6 years</b>	Destroy	Value Added Tax Act 1994 (As amended)
	Assessment of tax liabilities	Current tax year + <b>6 years</b>	Destroy	Value Added Tax Act 1994 (As amended)
	VAT account	Current tax year + <b>6 years</b>	Destroy	Value Added Tax Act 1994 (As amended)
	PAYE/NI>Returns on subcontractors	Current tax year + <b>4 years</b>	Destroy	Taxes Management Act 1970 (As Amended by the Finance Act 2008)
Insurance policy management	Arrangement and renewal of insurance policies – employers' liability insurance	Commencement / renewal of policy + <b>40 years</b>	Destroy	The Employers' Liability (Compulsory Insurance) Regulations 1998
	Arrangement and renewal of insurance policies – all other insurance	Expiry of policy + <b>6 years</b>	Destroy	Limitation Act 1980
	Claims made under insurance policies – property and other claims	Settlement/withdrawal of claim + <b>6 years</b>	Destroy	Limitation Act 1980
	Claims made under insurance policies – liability/personal injury/nurture claims	<b>Until age 100</b>	Retain	Limitation Act 1980
Asset management	Asset registers	Disposal of assets + <b>6 years</b>	Review	Limitation Act 1980

Finance and procurement				
Description	Record	Retention period	Action	Citation
Supplier Approval	Agreed specification and supplier evaluation criteria	Termination of contract + <b>6 years</b>	Destroy	Limitation Act 1980
	Invitation and evaluation of applications for approval from prospective suppliers, and notification of the outcome  – approved suppliers – rejected suppliers	– End of contract + <b>6 years</b> – Rejection + 1 year	Destroy	Limitation Act 1980
	List of approved suppliers	<b>While current</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
Supply contract tendering	Agreed specification and tender evaluation criteria	Termination of contract + <b>6 years</b>	Destroy	Limitation Act 1980
	Invitation and evaluation of tenders, the conduct of negotiations with tenders and notification of the outcome  – accepted tenders – rejected tenders	– Termination of contract + <b>6 years</b>  – Rejection + <b>6 months [see notes column]</b>	Destroy	Limitation Act 1980  Public Contracts (Public Procurement) Regulations 2015
	Contract award report (as required by the Regulations cited)	Termination of contract + <b>6 years</b>	Destroy	Limitation Act 1980
	Statistical reports on contracts awarded (as required by external financial regulations)	Date of creation + <b>6 years</b>	Destroy	Limitation Act 1980
Supply contract management	Variations to contracts	Termination of contract + <b>6 years</b>	Destroy	Limitation Act 1980
	Supplier performance and action taken regarding under-performance	Termination of contract + <b>6 years</b>	Destroy	Limitation Act 1980

Finance and procurement				
Description	Record	Retention period	Action	Citation
Financial authorities and delegations	Financial authorities and delegations	Superseded + <b>6 years</b>	Destroy	Business need assessed in accordance with the National Archive advice on retention.
Public Accounts Committee	Dealings with the Public Accounts Committee	Current financial year + <b>6 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.

Human resources				
Description	Record	Retention period	Action	Citation
Strategy, policies and procedures	HR Strategy	Superseded + <b>5 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
	HR policies and procedures	Superseded + <b>5 years</b>	Destroy	Business need assessed in accordance with the National Archive advice on retention..
Workforce planning	Workforce requirements, succession or restructuring plans	Superseded + <b>6 years</b>	Review	Limitation Act 1980
	Agreement to create a new post	Appointment + <b>1 year</b>	Destroy	CIPD recommendation and Equality Act 2010
Recruitment	Job descriptions (including gradings), personal specifications and text of advertisement	Termination of employment + <b>6 years</b>	Destroy	Limitation Act 1980
	Advertisement of vacancy – working papers	Appointment + 1 year	Destroy	CIPD recommendation and Equality Act 2010
	Application forms (excluding equal opportunities forms) and CVs – successful candidates – unsuccessful candidates	Appointment + 6 years Appointment of successful candidate + <b>1 year</b>	Destroy	Limitation Act 1980  CIPD advice on “Retention of HR records”  Equality Act 2010
	Interview notes and test results – successful and unsuccessful candidates	Appointment of successful candidate + <b>1 year</b>	Destroy	CIPD advice on “Retention of HR records”  Equality Act 2010
	References – successful and unsuccessful candidates	Appointment of successful candidate + <b>1 year</b>	Destroy	CIPD advice on “Retention of HR records”  Equality Act 2010

Human resources				
Description	Record	Retention period	Action	Citation
Recruitment cont...	CRB clearances	Recruitment Decision + 6 months  or  Last action + <b>6 months</b> if a dispute is raised	Destroy	CRB code of practice ICO Employment Practices Code
	Immigration clearances	Termination of employment + <b>2 years</b>	Destroy	CIPD recommendation
	Equal opportunities – forms	Immediately after anonymised data is entered onto database	Destroy	Business need assessed in accordance with the National Archive advice on retention.
	Equal opportunities – database information and statistical reports	Entry / creation + <b>10 years</b>	Destroy	Business need assessed in accordance with the National Archive advice on retention.
Training, development, induction and performance	Delivery of induction / training programmes to individuals	Termination of employment + <b>6 years</b>	Destroy	Limitation Act 1980
	Probation and annual appraisal reports	Termination of employment + <b>6 years</b>	Destroy	Limitation Act 1980
Remuneration and reward	Remuneration Strategy	Superseded + 6 years	Review	Business need assessed in accordance with the National Archive advice on retention.
	Reward and progression schemes and pay reviews	Superseded + 6 years	Review	Limitation Act 1980
Payroll administration	Records documenting payroll and tax administration <i>(including individuals' authorisation for non-statutory deductions, e.g. travel loans, nursery vouchers, etc.)</i>	Current tax year + <b>4 years</b>	Destroy	Taxes Management Act 1970 (as amended by the Finance Act 2008)
	National Minimum wage records	End of pay reference period + <b>3 years</b>	Destroy	National Minimum Wage Regulations 2015
	Operation of the Statutory Maternity, Paternity, Adoption and Shared Parental Pay scheme	Current tax year + <b>3 years</b>	Destroy	Statutory Maternity Pay (General) Regulations 1986  Statutory Paternity and Statutory Adoption Pay (Administration) Regulations 2002  HMRC advice and CIPD guidance
	Operation of the Statutory Sick Pay scheme	Termination of employment + <b>6 years</b>	Destroy	CIPD recommendation
	Payment and/or reimbursement of expenses	Current financial year + <b>4 years</b>	Destroy	Taxes Management Act 1970 (As amended by the Finance Act 2008)
	Payroll reconciliation	Current financial year + <b>2 years</b>	Destroy	Business need assessed in accordance with the National Archive advice on retention.
Pension administration	LSB's relationships with pension schemes	End of relationship + <b>6 years</b>	Destroy	Limitation Act 1980
	Pension scheme investment policies	<b>12 years</b> from the ending of any benefit payable under the policy	Destroy	CIPD guidance

	Pension records	<b>12 years</b> after the benefit ceases	Destroy	CIPD guidance
Employment relations	Grievances – record of investigation where allegations are unsubstantiated	Conclusion of investigation + <b>6 months</b> <i>[a pseudonymised note may be retained showing that investigation took place but allegation was unsubstantiated this should be destroyed after 6 years]</i>	Destroy	Business need assessed in accordance with the National Archive advice on retention.
	Grievances – record of investigation and outcome	Conclusion of investigation + <b>6 years</b>	Destroy	Limitation Act 1980
	Disciplinary – record of investigation where allegations are unsubstantiated	Conclusion of investigation + <b>6 months</b> <i>[a note may be retained showing investigation took place but allegation was unsubstantiated]</i>	Destroy	Limitation Act 1980
	Disciplinary – oral warnings	Date of issue + <b>6 years</b>	Destroy	Limitation Act 1980
	Disciplinary – written and other formal warnings	Retain for period stipulated when issued (usually date of issue + <b>6 years</b> )	Destroy	Limitation Act 1980
Employee Welfare	Colleague surveys and consultations	Completion of survey + <b>5 years although records must be pseudonymised where applicable</b> <i>(individual responses to be destroyed immediately after analysis)</i>	Review	Business need assessed in accordance with the National Archive advice on retention.
	Compliance with The Working Time Regulations 1998	Date of record + <b>2 years</b>	Destroy	Working Time Regulations 1998
	Health referrals, medical conditions and sickness records	Termination of employment + <b>6 years</b>	Destroy	Limitation Act 1980
Employee Contract Management	Contract of employment (including variations to terms and conditions)	Termination of employment + <b>6 years</b>	Destroy	Limitation Act 1980
	Termination of employment by resignation, redundancy, retirement dismissal or death in service	Until age 100 years	Destroy	Business need assessed in accordance with the National Archive advice on retention.
	Statutory and contractual leave records	Completion of entitlement + <b>6 years</b>	Destroy	Limitation Act 1980
	Parental Leave	<b>18 years from the birth of child</b>	Destroy	CIPD advice
	Reportable accidents, injuries or deaths in connection with work	Incident + <b>3 years</b>	Review	Limitation Act 1980 Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013
	Major injuries arising from workplace accidents, exposure to hazardous substances, disease, etc	Termination of employment + <b>50 years</b>	Review	Regulation 10(5) of Control of Lead at Work Regulations 2002 (40 years from date of last entry)  Regulation 21(1)(b) and 21(4) of Control of Asbestos at Work Regulations 2002 (40 years from date of last entry)  Regulation 10(3)(b) and 11(4), 11(5) and 11(7) of the Work in Compressed Air Regulations 1996 (40 years from date of last entry)

				Regulation 14(10) of the Radiation (Emergency Preparedness and Public Information) Regulations 2001 (50 years from termination of employment or until age 75)
	References provided by LSB	Termination of employment + <b>6 years</b>	Destroy	Limitation Act 1980
	Death-in-service benefit nominations and revocations	<b>Duration of employment OR</b> payment of benefit + <b>6 years</b>	Destroy	Limitation Act 1980
	Consent for the processing of (sensitive) personal data	Duration of processing + <b>6 years</b>	Destroy	Limitation Act 1980
	Consolidated employment history (e.g. name, posts, dates of employment, etc.)	<b>Until Age 100 years</b>	Destroy	Business need assessed in accordance with the National Archive advice on retention.
Management information	Conduct and proceedings of meetings of the Colleague Forum – agenda, minutes and supporting papers	Meeting + <b>5 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
	Staff turnover, etc	Creation + <b>5 years</b>	Destroy	Business need assessed in accordance with the National Archive advice on retention

Legal affairs				
Description	Record	Retention period	Action	Citation
Contracts and agreements	Negotiation, establishment and review of contracts and agreements between LSB and third parties  – contracts and agreements under seal (by deed)  – other contracts and agreements	  – Termination + <b>12 years</b>  – Termination + <b>6 years</b>	Destroy	Limitation Act 1980
Legal claims	Provision of legal support and representation for LSB in dealing with claims by or against LSB that do not proceed to litigation or are settled by an agreement	Settlement / withdrawal of claim + <b>6 years</b>	Destroy	Limitation Act 1980
	Records documenting litigation between LSB and third parties where legal precedents are set	Conclusion of case + <b>6 years</b> <i>(not including the judgment)</i>  <b>Permanent</b>  <i>(judgment only, if not published elsewhere)</i>	Review    Retain	Limitation Act 1980    Business need assessed in accordance with the National Archive advice on retention.



Legal affairs				
Description	Record	Retention period	Action	Citation
	Records documenting litigation between LSB and third parties that do not set legal precedents	Settlement of case + <b>6 years</b>	Destroy	Limitation Act 1980
Legal advice relating to ...	Interpretation of legislation / proposals for new legislation affecting LSB's legal framework, governance, responsibilities or operations	Superseded + <b>5 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
	LSB's relationships with government bodies and regulators	Superseded + <b>5 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
	Industrial relations issues	Superseded + <b>5 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
	Health, safety and environmental issues	Superseded + <b>5 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
	Other matters requested by, and provided to, LSB	Superseded + <b>5 years</b>	Destroy	Business need assessed in accordance with the National Archive advice on retention.
Property	Acquisition, ownership and disposal of properties by LSB	Ownership of property + <b>12 years</b>	Destroy	Limitation Act 1980
	Lease of properties by LSB (including landlords' consents)	Disposal of property + <b>6 years</b>	Destroy	Limitation Act 1980

Governance				
Description	Record	Retention period	Action	Citation
Legal framework	Establishment of LSB	<b>Permanent</b>	Retain	Business need assessed in accordance with the National Archive advice on retention.
Governing body – Legal Services Board ('the Board') and its Committees	Records documenting Board-related HR matters	<i>See 'Human Resources'</i>		
	LSB Governance Manual (including Code of Conduct, Rules of Procedure, Terms of Reference, etc.)	Superseded + <b>5 years</b>	Review	Limitation Act 1980

Governance				
Description	Record	Retention period	Action	Citation
	Conduct and proceedings of meetings of the Board and its Committees – agenda, minutes and supporting papers (including written resolutions)	<b>Last action</b>	Prepare for transfer	National Archives Collection Policy, Public Records Act 1958
Senior Leadership Team (SLT)	Terms of Reference, etc. for SLT	Superseded <b>+ 6 years</b>	Review	Limitation Act 1980
	Records documenting the conduct and proceedings of meetings of SLT– agenda, minutes and supporting papers (including written resolutions)	Last action	Prepare for transfer	National Archives Collection Policy, Public Records Act 1958
Public interest disclosures and other whistle blowing investigations	Whistleblowing – record of complaint and investigation where allegations are unsubstantiated	Immediately following conclusion of investigation <i>[a pseudonymized note may be retained showing investigation took place but allegation was unsubstantiated]</i>	Destroy	CIPD guidance
	Whistleblowing – record of complaint and investigation where allegations are substantiated	Conclusion of investigation <b>+ 6 months</b> <i>[pseudonymized records may be retained for 6 years following conclusion of the investigation]</i>	Destroy	CIPD guidance
Risk management and business continuity planning	Risk Strategy	Superseded <b>+ 7 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
	Risk registers	Superseded <b>+ 7 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
Internal audit	Planning, conduct and reports of internal audits	Completion of audit <b>+ 5 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
	Management’s response to internal audit recommendations	Completion of audit <b>+ 5 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
LSB strategy development	LSB strategy	Superseded <b>+ 10 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
LSB business planning	Business plans for implementing strategy	Superseded <b>+ 5 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
LSB operational policies and procedures	Operational policies and procedures	Superseded <b>+ 5 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
General correspondence and complaints <i>(excluding DPA, Fol or EIR requests)</i>	Registers of correspondence and complaints	Last entry <b>+ 6 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
	Correspondence from members of the public (including practitioners)	Last action <b>+ 6 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.

Governance				
Description	Record	Retention period	Action	Citation
	Correspondence from Approved Regulators and legal stakeholders (not practitioners)	Last action + <b>6 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
	Correspondence from Ministry of Justice	Last action + <b>6 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
	Complaints	Last action + <b>6 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
Data protection	Data subject access requests	Last action + <b>1 year</b>	Destroy	CIPD Guidance
	Data subject access request statistics and anonymised disclosure logs	Last action + <b>10 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
Freedom of information (Fol) and Environmental Information Regulations (EIR)	Fol / EIR requests	Last action + <b>3 years</b> Last action + <b>5 years (when an ICO investigation takes place)</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
	Records documenting request statistics and anonymised disclosure logs	Last action + <b>10 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
IT	Leavers inboxes	Termination of employment + <b>6 months</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
Organisational performance management	Organisational performance management – data, analysis and reports	Current year + <b>3 years</b>	Review	Business need assessed in accordance with the National Archive advice on retention.
Public communications	Press releases, etc.	Current year + <b>6 years</b>	Destroy	Business need assessed in accordance with the National Archive advice on retention.