



Information Retention and Disposal Policy

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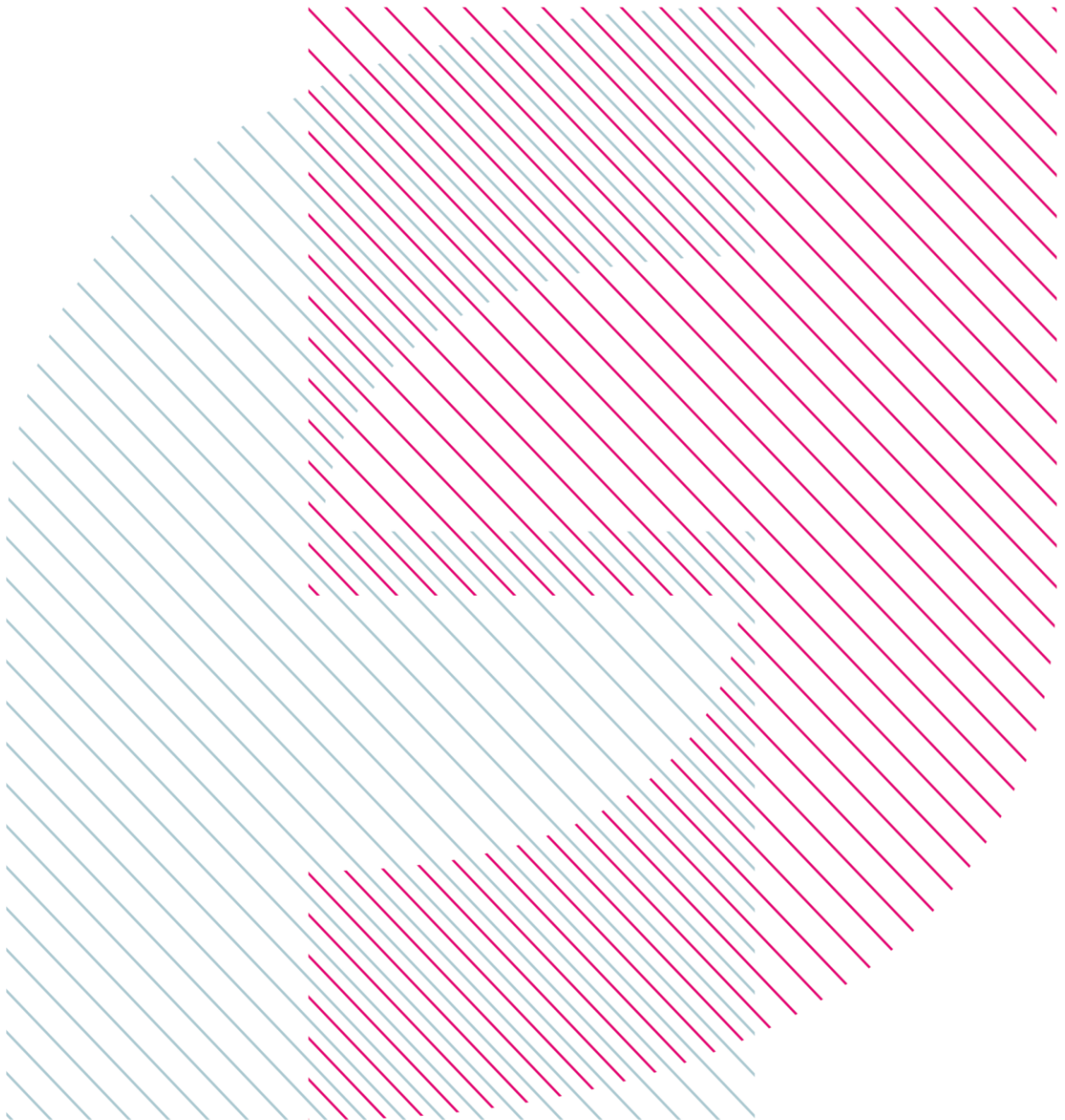


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Latest update

Version	Date	Summary of Changes	Actioned by (role)
1.5	07/2019	Full document	DPICO/IAOs
1.6	8/2019		Head of IT & IG/Security forum
1.7	10/2019	Appendix A .2	Head of HR/Security Forum
1.8	01/2020	Appendix A .5	External Affairs Lead/Security Forum
2.0	30/01/2020	Full document	Management Group
2.1	7/04/2021	Appendix A .4	Project Management
3.0	12/05/2022	Full document	Security Forum
3.0	01/08/2022	Full document	Executive team

Purpose

It is a requirement of the General Data Protection Regulation and Data Protection Act that information must only be retained as long as necessary. Keeping information for longer than it is required is breach of the rights of the Data Subjects that the information relates to.

This Policy sets out requirements and responsibilities for managing the retention and disposal of records and information.

We all have responsibility for storing information only as long as necessarily, and when no longer required ensuring it is destroyed confidentially without unauthorised persons accessing it. This is important to protect data subjects' right, maintain legal compliance and avoid unnecessary storage costs in our Cloud-based IT environment.

All information must be retained (stored) safely so that it cannot be lost, stolen or accessed by unauthorised persons.

Appendix A sets out the periods for which data and records must be retained. When storing or archiving records you should ensure that you are able to monitor and recover them safely in order to meet the retention requirements set out in Appendix A.

When destroying data processes must be put in place to dispose of it safely ensuring its confidentiality is maintained

A record of items destroyed must be kept in a manner that does not detail any personal information.

Scope

The Policy applies to all Legal Ombudsman employees, including any contractor, agency, casual staff (including those on work experience) and external service providers' staff.

All staff have a responsibility to consider both safety and security when storing and disposing information in the course of their work. Consideration should also be given to the nature of the information involved - for example, how sensitive it is and the format in which it is held.

Responsibilities

The Senior Information Risk Owner (SIRO) will agree with Executive Team an individual in each business area to act as Information Asset Owner (IAO). The IAO is a named senior individual responsible for identified information assets in that business area. Their responsibilities will include providing assurance to the SIRO and ensure that all assets under their control are following retention schedule rules. They have ownership of the assets and are therefore responsible for ensuring adherence to the Retention and Disposal Schedule. IAOs are responsible for authorising the destruction of information when required.

Information Asset administrators assist the IAOs in their role and are operationally responsible for the upkeep of information assets, including adherence to the Retention and Disposal Schedule.

Policy statement

The Legal Ombudsman (LeO) is committed to the efficient management of our records for the effective delivery of our services. Records need to be properly retained to enable LeO to meet its business needs, legal requirements, to evidence events or agreements, and to ensure that any records of historic value are preserved.

Any departure from this policy may lead to disciplinary action being taken in accordance with the published staff disciplinary process.

This policy covers the records listed in Appendix A (“the record retention schedule”) irrespective of the media on which they are created or held.

1.0 Data Storage and Compliance

- 1.1 Data and records should, wherever possible, be stored electronically. However, alternative formats of storage (e.g. CD or paper) may be more appropriate in certain circumstances. All data and records must be stored as securely as possible in order to avoid potential misuse or loss. All data and records will be stored in the most convenient and appropriate location, having regard to the period of retention required, and the frequency with which access will be made to the record.
- 1.2 The degree of security required for file storage will reflect the sensitivity and confidential nature of any material recorded, and due regard to security must also be given to archived filing.
- 1.3 To comply with the principles of the UK General Data Protection Regulation and Data Protection Act, records containing personal data must be:
 - stored appropriately, having regard to the sensitivity and confidentiality of the material recorded;
 - retrievable and easily traced;
 - retained for only as long as necessary;
 - disposed of appropriately to ensure that copyrights are not breached and to prevent them falling into the hands of unauthorised personnel.
- 1.4 The record retention schedule (Appendix A) documents the minimum length of time that Legal Ombudsman records should be retained to comply with legal, regulatory and operational requirements. It also ensures that LeO balances the statutory principle not to hold on to records unnecessarily.
- 1.5 The schedule identifies the relevant functions of LeO and the categories of records they hold. The Schedule describes:
 - the record type (series);
 - examples or descriptions of what makes the record;
 - the minimum retention period;
 - the recommended disposal action; and
 - the supporting justification.
- 1.6 A minimum retention period is provided for each category of record in the Schedule

attached. The retention period applies to all records within that category. The minimum retention period derives from either:

- business need as determined by the Executive Team;
- legislation;
- guidance from the National Archives; or
- guidance from the Ministry of Justice.

- 1.7 Records may be retained for a longer than the retention if there is a justified need to keep them longer, but must not be disposed of before the identified time. Where a record is retained longer than the minimum the reasons for its continued retention should be recorded, and must comply with the rights of any data subjects. Staff should take into account the risks of storing data for longer than specified in our retention schedules, particularly risks to legal compliance and risks to value for money by incurring unnecessary storage costs.
- 1.8 Although LeO aims to keep paper records to a minimum, the retention schedule may identify paper based records that must be retained for several years even though they are no longer referenced on a regular basis. These records need to be stored in a safe environment. If required, such archiving material may be sent to an appropriate off-site storage facility.
- 1.9 LeO operates a paperless office with all documents and evidence received when considering a complaint stored electronically. There may be occasions when we receive documents which cannot be scanned onto our case management system, because of their size or format. Such material must be kept secure and in a locked cabinet. The Information Asset Owner for Operations will arrange for a record to be kept of this material which will include the date it was received, its current status, and proposed date of destruction.
- 1.10 Destruction should be carried out in a way that preserves the confidentiality of the record. This ensures compliance with the General Data Protection Regulation and Data Protection Act and the duty of confidentiality we owe to our employees, and customers.
- 1.11 The relevant Information Asset Owner will maintain an effective and up to date register of destroyed records.
- 1.12 The destruction of LeO records must only be undertaken in accordance with this policy. If there is any doubt about the need for authorisation in a specific case, individuals should consult with LeO's Data Protection and Information Compliance Officer.
- 1.13 When records are disposed of, on-site or off, it is important to use methods which do not allow future use or reconstruction.
- 1.14 Deletion should ultimately mean the complete destruction of the electronic record. This implies rendering data non-recoverable. Reasonable steps should be taken to ensure the information is not retrievable by normal methods, including restoring or using backup facilities.
- 1.15 The deletion of electronic records must be organised in conjunction with LeO's Information Technology Security Officer who will ensure the removal of all data from the medium so that it cannot be reconstructed.

- 1.16 Paper records containing confidential and/or personal information must be disposed in the confidential waste bins provided. Alternatively they may be shredded with a cross-cut shredder no larger than 6mm and confidentially disposed of. If confidential waste bins or shredders are full the Facilities Team should be notified. Under no circumstances should confidential and/or personal information be disposed of with other rubbish or general records. Bulk shredding and confidential disposal can be arranged through the Facilities Team.
- 1.17 Information Asset Owners should ensure a disposal schedule is kept updated detailing what records have been destroyed, when, by whom, and using what method of destruction. Records which have been archived should also be documented in order to facilitate effective retrieval. The disposal record applies to both paper and electronic (computer and video) records and must not, in itself contain personal information.
- 1.18 The disposal schedule should contain all the following elements:
- the Department creating or holding the records described in the schedule;
 - a schedule reference and version number;
 - reference numbers (where applicable) of the records;
 - a description of the records;
 - the retention period and / or disposal action;
 - the signature(s) of the Information Asset Owner or their nominated delegate;
 - the date on which the schedule was agreed and signed; and
 - the date of implementation of the schedule.
- 1.19 It is the responsibility of the Security Forum to monitor and review the disposal schedule (Appendix A) annually, to ensure that:
- retention periods and disposal actions are still appropriate in the light of experience;
 - records no longer generated are removed from the schedules after disposal action on them is complete;
 - newly created categories of records are added to the schedules; and
 - records which are on schedules as needing retention are still in existence.
- 1.20 Where amendments are required to the disposal schedule, the Security Forum will approve the update of Appendix A and establish arrangements to advise staff as soon as possible.

Related documents

Record Disposal Guide

Further information

If you have any queries, please email Information Rights and Security Team - Infosec@legalombudsman.org.uk.

1. Finance and Procurement

Description	Record	Retention Period	Action	Citation
Financial management	Records documenting the development and establishment of the Finance strategy.	Superseded + 10 years	Review or Archive Value	n/a
Financial Audit	Records documenting the conduct and results of financial audits, and action taken to address	Last action on audit + 6 years	Destroy	1980 c.58
Financial Accounting	Records documenting the issue of sales invoices and the processing of incoming payments	Current financial year + 6 years	Destroy	1970 c.9 1980 c.58 1994 c.23
	Records documenting the receipt and payment of purchase invoices	Current financial year + 6 years	Destroy	1970 c.9 1980 c.58 1994 c.23
	Records of the handling of petty cash	Current financial year + 6 years	Destroy	1970 c.9 1980 c.58 1994 c.23
	Records of the receipt and processing of students' fees	Current financial year + 6 years	Destroy	1970 c.9 1980 c.58
	Records documenting the preparation of the organisation's statutory accounts	Current financial year + 6 years	Destroy	1980 c.58
	Annual accounts	Current financial year + 6 years	Archive	1970 c.9
	Records of opening, closing & routine administering of bank accounts	Closure of account +6 years	Destroy	1980 c.58
	Records of standing orders, direct debits	Life of instruction +6 years	Destroy	1980 c.58
	Records of routine bank account deposits / withdrawals/ transfers (paying-in slips, transfer instructions, bank statements etc.)	Current financial year + 6 years	Destroy	1980 c.58 1970 c.9
	Records of the processing of internal accounting transactions between operating units (i.e. cross-charges)	Current financial year + 6 year	Destroy	n/a
Management Accounting	Records documenting analyses of the internal deployment of the organisation's financial resources	Current financial year + 6 years	Destroy	n/a
	Management Account Journals	Current financial year + 6 years	Destroy	n/a

Description	Record	Retention Period	Action	Citation
	Financial Systems documentation	Life of system	Destroy	n/a
	Financial Statements	Permanently	n/a	n/a
Budget Management	Preparation of annual operating budgets	Current financial year + 2 year	Destroy	n/a
	Monitoring of income and expenditure against annual operating budgets, and action taken to deal with variances	Current financial year + 1 year	Destroy	n/a
Funding Administration	Administering annual funding allocations from appropriate statutory funding bodies (inc correspondence, invoices)	Current financial year + 6 years	Destroy	n/a
Payroll Administration	Calculation and payment of payroll payments to employees	Current tax year + 6 years	Destroy	1970 c.9 1980 c.58 1993 / 744 1999/584
	Employees' authorisation for non-statutory payroll deductions e.g. gym membership, nursery vouchers, travel loans etc.	Current tax year + 6 years	Destroy	1980 c.58
	Records documenting the operation of the Statutory Sick Pay scheme	Current tax year + 3 years	Destroy	1982/894
	Records documenting the operation of the Statutory Maternity Pay Scheme	Current tax year + 3 years	Destroy	1986/1960
	Records documenting the payment and/or reimbursement of employees' & Board members' expenses	Current financial year + 6 years	Destroy	1970 c.9 1980 c.58
	Payroll Reconciliation	Current financial year + 2 years	Destroy	
Pension Administration	Records documenting payments of the Organisation's employers' contributions to pensions schemes for its employees	Termination of employment + 75 years	Destroy	1980 c.58
	Records of payments of employees' contributions to pension schemes	Termination of employment + 75 years	Destroy	1980 c.58
Tax Management	Records documenting the preparation and filing of the Organisation's tax returns	Current tax year + 6 years	Destroy	1994 c.23
	Assessment of Tax liabilities	Current tax year + 6 years	Destroy	1994 c.23
	VAT Account	Current tax year + 6 years	Destroy	1994 c.23
	PAYE/NI>Returns on subcontractors	Current tax year + 3 years	Destroy	1970 c.9

Description	Record	Retention Period	Action	Citation
Insurance Policy Management	Records documenting the arrangement and renewal of insurance policies to meet defined requirements and legal obligations: employers' liability insurance (organisation has exemption certificate)	Commencement OR Renewal of policy + 40 years	Destroy	1980 c.58
	Records documenting the arrangement and renewal of insurance policies to meet defined requirements and legal obligations: all other insurance	Expiry of policy + 6 years	Destroy	1980 c.58
	Records documenting claims made under insurance policies: Property and other claims	Settlement OR withdrawal of claim + 6 years	Destroy	1980 c.58
	Records documenting claims made under insurance policies: Liability/Personal injury/nurture claims	Permanent	n/a	1980 c.58
Asset Management	Valuation of capital Assets	Current financial year + 6 years	Review for Archive	1970 c.9
	Records documenting the disposal of capital assets	Disposal financial year + 6 years	Review for Archive	1970 c.9 1980 c.58
Supplier Approval	Records documenting supplier evaluation criteria	Superseded + 5 years	Destroy	n/a
	Records documenting invitations to prospective suppliers to apply for approval	Expiry of invitation OR rejection of application + 6 months OR completion of approval	Destroy	n/a
	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: approved suppliers	Termination of approval	Destroy	n/a
	Records documenting the evaluation of applications for approval from prospective suppliers, and notification of the outcome: rejected suppliers.	Rejection + 1 year	Destroy	n/a
	Supplier database	While current	Destroy	n/a
Supply Contract Tendering	Records documenting the process of inviting and evaluating pre-qualification submissions from prospective suppliers	Award of supply contract + 1 year	Destroy	1991/2680 1993/3228 1995/201
	Records documenting Invitations to Tender and tender evaluation criteria	Termination of supply contract awarded + 6 years	Destroy	1995/201

Description	Record	Retention Period	Action	Citation
	Records documenting the issue of Invitations to Tender and handling of incoming tenders	Award of supply contract + 1 year	Destroy	1991/2680 1993/3228 1995/201
	Records documenting the evaluation of tenders, the conduct of negotiations with tenders and the notification of the results of the tender evaluation process: rejected tenders	Award of supply contract + 1 year	Destroy	1991/2680 1993/3228 1995/201
	Records documenting the evaluation of tenders, the conduct of negotiations with tenders and the notification of the results of the tender evaluation process: accepted tenders	Termination of supply contract awarded + 6 years	Destroy	1980 c.58 1991/2680 1993/3228 1995/201
	Contract award report (as required by the Regulations cited).	Termination of supply contract awarded + 6 years	Destroy	1980 c.58 1991/2680 1993/3228 1995/201
	Statistical reports on contracts awarded (as required by external financial regulations).	Date of Creation + 3 years	Destroy	1980 c.58 1991/2680 1993/3228 1995/201
Supply Contract Management	Records documenting variations to contracts (e.g. revisions, extensions).	Termination of contract + 6 years	Destroy	1980 c.58
	Records documenting the monitoring of supplier performance and action taken regarding under-performance	Termination of contract + 6 years	Destroy	1980 c.58
Purchasing Administration	Records documenting purchasing authorisation limits	Superseded + 1 year	Destroy	n/a
	Records documenting internal authorisation for procurement	Current financial year + 1 year	Destroy	n/a

2. Human Resources

Description	Record	Retention Period	Action	Citation
Strategy, Policies &	HR strategy: Master copy	Permanent	Retain	n/a
	HR policies & procedures	Superseded + 10 years	Destroy	n/a
Recruitment and employee records	Employee electronic record and paper file	Retain for 6 years after termination of employment	Destroy	n/a
	Authorisation to recruit	Completion of appointment + 6 years	Destroy	n/a
	Advertisement of vacancies	Permanent	Retain	n/a
	Enquiries about vacancies & requests for application forms	Immediate after responding	Destroy	n/a
	Review/short listing notes, application (excluding Equal Opps), interview notes and scoring, test results per campaign (successful candidates)	Retain for 6 years after termination of employment.	Destroy	n/a
	Application forms and CVs, shortlisting, interview notes, test results per campaign: unsuccessful candidates	Date recruitment finalised + 1 year	Destroy	n/a
	References successful candidates	Termination of employment + 6 years.	Destroy	n/a
	DBS clearance documentation	Record of success or fail and cert number. Information retained by MoJ	Destroy	DBS code of practice
	Clearance to work documentation	Termination of employment + 6 years.	Destroy	n/a
	Equal opportunities form and data	Termination of employment + 6 years.	Destroy	n/a
	Unsolicited applications	Reply & immediate deletion	Destroy	n/a

Description	Record	Retention Period	Action	Citation
Training, Development, Induction and performance	Staff training and development undertaken, Induction, performance reviews, performance improvement plans.	Current year + 6 years	Destroy	n/a
Remuneration and Reward	Records documenting the development of the organisation's remuneration structure and strategy	Permanent	Retain	n/a
	Records documenting pay reviews and remit	Permanent	Retain	n/a
	Records documenting recognition and reward- schemes	Creation + 6 years	Destroy	n/a
	Records documenting individual wage/salary records	Termination of employment + 6 years	Destroy	n/a
Formal Meeting Records	Letters, reports and meeting notes relating to formal cases such as discipline, grievance consultation for end of fixed term contract, flexible working applications etc.	Termination of employment + 6 years.	Destroy	n/a
Absence and Health	Return to work meetings following sickness, maternity, career break etc.	Termination of employment + 6 years	Destroy	n/a
	Self-certification forms / fit notes, Occupational health reports / DASS reports, Return to work interviews	Termination of employment + 6 years	Destroy	n/a
Workforce Planning	Contracts of employment, changes to terms and conditions letters, statement of terms, contract extension details.	Termination of employment + 6 years	Destroy	n/a
	Annual leave records, Special leave records, Communication relating to maternity/paternity /flexible working/academic leave, etc	Current year + 6 years	Destroy	n/a
Pensions	Records documenting the organisation's relationships with pension schemes	End of relationship + 12 years	Destroy	n/a
	Pension scheme membership (n.b primary records are held by external provider not the OLC)	End of relationship + 6 years	Destroy	n/a
	Jobholders who opt out	End of relationship + 6 years	Destroy	n/a

3. Legal Affairs

Description	Record	Retention Period	Action	Citation
Contracts and Agreements	Records documenting the negotiation, establishment and review of contracts and agreements between the organisation and third parties: agreements and contracts under seal (by deed).	Termination of contract + 12 years	Destroy	1980 c. 58 s 8
	Records documenting the negotiation, establishment and review of contracts and agreements between the organisation and third parties: other contracts and agreements.	Termination of contract + 6 years	Destroy	1980 c. 58 s 8
Legal claims	Records documenting the provision of legal support and representation for the organisation in dealing with claims by or against the organisation which do not proceed to litigation or settlement by an agreement.	Settlement of claim + 6 years OR withdrawal of claim + 6 years	Destroy	1980 c. 58 s 8
	Records documenting litigation between the organisation and third parties where legal precedents are set.	Life of organisation	Permanent	n/a
	Records documenting litigation between the organisation and third parties which does not set legal precedents.	Settlement of case + 6 years	Destroy	1980 c. 58 s 2 and s 5
	Withdrawn claims	Date of withdrawal + 3 years	Destroy	1980 c. 58
Legal interpretation and advice	Interpretation of legislation affecting the organisation's legal framework, governance, responsibilities or operations	Life of organisation	Permanent	n/a
	Proposals for new legislation affecting the organisation's legal framework, governance, responsibilities or operations	Life of organisation	Permanent	n/a
	The organisation's relationships with government bodies and regulators	Life of organisation	Permanent	n/a
	Industrial relations issues	Final action +12 years	Permanent	1980 c.58 s.8
	Health, safety and environmental issues	Life of organisation	Permanent	n/a
	Records documenting legal advice on other matters requested by, and provided to, the organisation.	Superseded + 6 years	Destroy	n/a

Description	Record	Retention Period	Action	Citation
Property Acquisition	Records documenting the acquisition of ownership of properties.	Ownership of property	Destroy	n/a
	Deeds and certificates of title for properties owned by the institution.	Ownership of property	Destroy	n/a
	Records documenting negotiations for properties where the property was not acquired.	Closure of negotiations + 6 years	Destroy	1980 c.58
	Records documenting the acquisition of use of properties by lease or rental.	Disposal of property + 6 years	Destroy	1980 c.58
Property Disposal	Records documenting the disposal of properties	Disposal of property + 6 years	Destroy	1980 C58
Information Rights Requests	Subject Access Requests (Data Protection Act)	Closure + 3 years	Destroy	n/a
	Freedom of information requests	Closure + 3 years	Destroy	n/a
	Environmental information requests	Closure + 3 years	Destroy	n/a
Data Protection Impact Assessment (DPIA)	Records high risk processing and helps identify and minimise data protection risks systematically and comprehensively	Creation 6 years	Review	n/a

4. Governance

Description	Record	Retention Period	Action	Citation
Legal Framework	Records documenting the establishment and development of the organisation's legal framework.	Life of organisation	Permanent	n/a
Governing Body/Board Management	Records documenting the appointment of members of the governing body/Board. This information will be retained by the Legal Services Board.	Termination of appointment + 6 years	Destroy	1980 c. 58 s 5
	Records documenting the provision of training and development for members of the governing body/Board. This information will be retained by the Legal Services Board.	Date of creation + 3 years	Destroy	n/a
	Records documenting the arrangements of meetings of the governing body/Board.	Date of creation + 1 years	Destroy	n/a

Description	Record	Retention Period	Action	Citation
	Records documenting the conduct and proceedings of meetings of the governing body/Board, agenda, minutes and supporting papers.	Date of creation + 50 years	Review	n/a
Board Committee Administration	Records documenting the development and establishment of terms of reference for committees.	Life of organisation	Permanent	n/a
	Records documenting the appointment of members of the committees.	Termination of appointment + 6 years	Destroy	1980 c. 58 s 5
	Records documenting the provision of training and development committee members.	Termination of appointment + 6 years	Destroy	n/a
	Records documenting training undertaken by individual members of a committee.	Termination of appointment + 6 years	Destroy	1980 c. 58 s 2 and s 5
	Records documenting the arrangements for meetings of a committee.	Current year + 1 year	Destroy	n/a
	Records documenting the organisation of meetings of Board committees	Date of creation + 1 years	Destroy	n/a
	Records documenting the conduct and proceedings of meetings of Board committees, agenda, minutes and supporting papers.	Date of creation + 50 years	Review	n/a
	Records documenting the appointment of members of the committees.	Termination of appointment + 6 years	Destroy	1980 c. 58 s 5
	Records documenting the provision of training and development committee members.	Termination of appointment + 6 years	Destroy	n/a
	Records documenting training undertaken by individual members of a committee.	Termination of appointment + 6 years	Destroy	1980 c. 58 s 2 and s 5
	Records documenting the arrangements for meetings of a committee.	Current year + 1 year	Destroy	n/a
	Records documenting the organisation of meetings of Board committees	Date of creation + 1 years	Destroy	n/a
	Records documenting the conduct and proceedings of meetings of Board committees, agenda, minutes and supporting papers.	Date of creation + 50 years	Review	n/a
Organisation Committee Administration	Records documenting the development and establishment of the terms of reference, and the rules and procedures, for a committee.	Life of committee + 6 years	Destroy	1980 c. 58 s 5
	Records documenting the appointment/election/designation of members of a committee.	Termination of membership + 6 years	Destroy	1980 c. 58 s 5
	Records documenting the arrangements for meetings of a committee.	Current year + 1 year	Destroy	n/a

Description	Record	Retention Period	Action	Citation
	Records documenting the conduct of the business of a committee: agenda, minutes and supporting papers.	Life of committee + 5 years	Destroy	n/a
	Records documenting the conduct of the business of a committee: correspondence and other records relating to the preparation of committee business or to actions to be taken (or not taken) as a result of committee decisions.	Current year + 5 years	Destroy	n/a
	Records documenting the appointment/election/designation of the organisation's senior officers	Termination of employment + 6 years	Destroy	1980 c. 58 s 5
Public Interest Disclosure	Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998.	Closure of case + 6 years	Destroy	1980 c. 58 s 2 and s 5
Official External Representation	Records documenting the appointment/designation of staff to officially represent the organisation.	Closure of case + 6 years	Destroy	1980 c. 58 s 2 and s 5
Risk Management	Records documenting identified risks to the organisation and assessments of those risks.	Superseded + 1 year	Destroy	n/a
Business Continuity	Records documenting identified risks to the organisation and assessments of those risks.	Superseded + 1 year	Destroy	n/a
Internal and External Audit	Records documenting the planning of audits	Completion of audit + 5 years	Destroy	n/a
	Records documenting the conduct of audits	Completion of audit + 5 years	Destroy	n/a
	Records documenting the results of audits	Life of organisation	Permanent	n/a
	Records reviewing and responding to audit reports, including drawing up action plans to address issues raised	Life of organisation	Permanent	n/a
Organisation Strategy Development	Records documenting the development and establishment of strategy	Superseded + 10 years	Review	n/a
Organisation Business Planning	Records documenting the formulation of plans for implementing strategy	Superseded + 3 years	Review	n/a
Organisation Policy and Procedure	Policy development working papers	Superseded + 2 years	Review	n/a
	Approved Policy	Superseded + 10 years	Review	n/a
	Procedure development working papers	Superseded + 1 years	Review	n/a

Description	Record	Retention Period	Action	Citation
Development	Approved Procedure	Superseded + 5 years	Review	n/a
Conflict of Interest declarations	Records documenting conflict of interest and potential conflict of interest	Termination of employment + 6 years	Destroy	n/a
Project Documentation	Project records documenting the management and delivery of all projects... <i>with exception of Lessons Learned, DPIA, procurement/contracts, project products, and action log.</i>	Completion of project + 3 years	Review and: Destroy (for projects that are not system/service related) Retain (for life of system, service, or service for system where project has delivered a new system, service, or service for a system)	n/a
Project Documentation - by exception	Project Lessons Learned	Life of organisation to support future projects and continued business development	Retain	n/a
	DPIA	Completion of project (and then handed over to Information Security)	Destroy	n/a

Description	Record	Retention Period	Action	Citation
	Procurement/Contracts, <i>including for partially externally funded research projects, irrespective of which party runs the procurement activity or enters into contractual relationship.</i>	Completion of project (and then saved in contracts database)	Destroy	n/a
	Project Products	Completion of project (and handed over to BAU)	Destroy	n/a
	Action Log	Completion of project (any open actions captured in Project Closure Report)	Destroy	n/a

5. External Affairs

Description	Record	Retention Period	Action	Citation
Stakeholder engagement	Engagement with key stakeholders: meetings notes, correspondence, briefs	6 years.	Review	n/a
	Engagement with less significant stakeholders: meetings notes, correspondence, briefs	3 years	Review	
	Briefings: background materials prepared for a range of external facing meetings	3 years	Review	n/a
	Consultation responses: responses received to any consultations we have published	3 years	Review	n/a
	Log of MP engagement: excel file noting when we have had contact with MPs	3 years	Review	n/a
Communications and Marketing	Correspondence with MPs (on cases): incoming correspondence from MP offices on behalf of their	3 years	Review	n/a
	Correspondence with MPs (general): incoming correspondence which can be on a range of issues	3 years	Review	n/a
	Stakeholder survey results: annual survey results	3 years	Review	n/a
	Press releases / Stakeholder notices	3 years	Review	n/a

	Course delegate lists: service providers who have attended LeO run courses	12 months	Review	Review
	LeO News mailing list: those who have signed-up to LeO News	3 years	Review	Review membership
	Correspondence with journalists	12 months	Review	n/a
	General correspondence with the public	12 months	Review	n/a

6. Operational

Description	Record	Retention Period	Action	Citation
Case Management	Complaint case file including case call recording	Closure + 6 years	Destroy	n/a
	Non case related correspondence including call recordings, e-mails and letters	Closure/response + 6 years	Destroy	n/a
Internal Complaints	Complaint case file including case call recording	Closure + 6 years	Destroy	n/a
	Non case related correspondence including call recordings, e-mails and letters	Closure/response + 6 years	Destroy	n/a
KPI's	Records documenting the monitoring of performance against the organisation's KPIs – core data	Current financial year + 1 year	Destroy	n/a
KPI's	Records documenting the monitoring of performance against the organisation's KPIs – reports	Current financial year + 10 years	Review or Archive Value	n/a
Performance Management	Performance Monitoring Reports	Current year + 3 years	Review	n/a
	Performance Monitoring Data and analysis	Current year + 3 years	Review	n/a
	Audit reviews, results and responses	Current year + 3 years	Review	n/a
Quality Standards Management	Annual performance monitoring	Current year + 3 years	Review	n/a
	Internal reviews and audits	Current year + 3 years	Review	n/a
	Customer feedback; data and analysis	Current year + 3 years	Review	n/a
	Customer feedback; reports	Current year + 3 years	Review	n/a

	Development of the organisation's internal quality assurance processes.	Current year + 3 years	Review	n/a
	Conduct and results of internal and external reviews of research quality, and responses to the results.	Current year + 3 years	Review	n/a
Research and Enterprise	Records of the development, establishment and implementation of the organisation's research strategy	Superseded + 10 years	Review	n/a
	Records of strategy review (includes all data, reports and audit material)	Current year + 10 years	Destroy	n/a
	Announcements of research results in publications or through the media	Issue of announcement + 3 years	Destroy	n/a
	Preparation of publications, presentations, demonstrations or other means of disseminating research results.	Publication / delivery + 3 years	Destroy	n/a
Regulator portals	Final Ombudsman decision letter/ Misconduct referrals / Further info requests / Court orders etc sent automatically/manually to relevant Regulators portal (SRA, BSB, CLC, Cilex, CMR)	Closure + 6 years	Destroy	n/a

Retention Schedule Citations

Acts of the UK Parliament

1. 1957 c.31 Occupiers Liability Act 1957
2. 1969 c.57 Employers' Liability (Compulsory Insurance) Act 1969
3. 1970 c.9 Taxes Management Act 1970
4. 1970 c.41 Equal Pay Act 1970
5. 1974 c.37 Health and Safety at Work etc. Act 1974
6. 1975 c.65 Sex Discrimination Act 1975
7. 1976 c.74 Race Relations Act 1976
8. 1980 c.58 Limitation Act 1980
9. 1992 c.4 Social Security Contributions & Benefits Act 1992
10. 1994 c.23 Value Added Tax Act 1994
11. 1994 c.30 Education Act 1994
12. 1995 c.50 Disability Discrimination Act 1995
13. 1998 c.29 Data Protection Act 1998

Statutory Instruments of the UK Parliament

1. S.I. 1977 / 500 The Safety Representatives and Safety Committees Regulations 1977
2. S.I. 1981 / 917 The Health and Safety (First Aid) Regulations 1981
3. S.I. 1982 / 894 The Statutory Sick Pay (General) Regulations 1982
4. S.I. 1986 / 1960 The Statutory Maternity Pay (General) Regulations 1986
5. S.I. 1989 / 635 The Electricity at Work Regulations 1989
6. S.I. 1989 / 682 The Health and Safety Information for Employees Regulations 1989
7. S.I. 1989 / 1790 The Noise at Work Regulations 1989
8. S.I. 1991 / 2680 The Public Works Contracts Regulations 1991
9. S.I. 1992 / 2792 The Health and Safety (Display Screen Equipment) Regulations 1992
10. S.I. 1992 / 2793 The Manual Handling Operations Regulations 1992
11. S.I. 1992 / 2932 The Provision and Use of Work Equipment Regulations 1992
12. S.I. 1992 / 2966 The Personal Protective Equipment at Work Regulations 1992
13. S.I. 1993 / 744 The Income Tax (Employments) Regulations 1993
14. S.I. 1993 / 3228 The Public Services Contracts Regulations 1993
15. S.I. 1995 / 201 The Public Supply Contracts Regulations 1995
16. S.I. 1995 / 3163 The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995
17. S.I. 1996 / 341 The Health & Safety (Safety Signs and Signals) Regulations 1996
18. S.I. 1996 / 972 The Special Waste Regulations 1996
19. S.I. 1996 / 1513 The Health and Safety (Consultation with Employees) Regulations 1996

20. S.I. 1997 / 1840 The Fire Precautions (Workplace) Regulations 1997
21. S.I. 1998 / 1833 The Working Time Regulations 1998
22. S.I. 1998 / 2306 The Provision and Use of Work Equipment Regulations 1998
23. S.I. 1998 / 2307 The Lifting Operations and Lifting Equipment Regulations 1998
24. S.I. 1998 / 2573 The Employers' Liability (Compulsory Insurance) Regulations 1998
25. S.I. 1999 / 584 The National Minimum Wage Regulations 1998
26. S.I. 1999 / 3242 The Management of Health & Safety at Work Regulations 1999
27. S.I. 1999 / 3312 The Maternity & Parental Leave etc. Regulations 1999
28. S.I. 2002 / 2675 The Control of Asbestos at Work Regulations 2002
29. S.I. 2002 / 2676 The Control of Lead at Work Regulations 2002
30. S.I. 2002 / 2677 The Control of Substances Hazardous to Health Regulations 2002

Other provisions

1. HMCE 700/21 HM Customs & Excise Notice 700/21: Keeping [VAT] records and accounts
2. IR CA30 Statutory Sick Pay Manual for employers CA30