

Corporate retention and disposal schedule

We are the professional regulator for nurses and midwives in the United Kingdom. Our principal functions include setting standards of education, training, conduct and performance and ensuring the maintenance of those standards.

We are statutorily required to maintain a register of qualified nurses and midwives and to set standards necessary to be admitted to and remain on the register. Where necessary, we investigate concerns about the fitness to practise of nurses and midwives to ensure the maintenance of our standards.

We keep records of the work that we do for operational and administrative purposes. We also keep records to demonstrate how we comply with our statutory and regulatory obligations. As a public authority we are accountable for the work that we do and we may be called upon to provide information to public inquiries and our regulator about the way we have handled cases in the past.

This document sets out the retention arrangements for the different types of documents we hold. It takes into account that we retain records for operational and administrative purposes and the fact that we are subject to a range of other legal obligations that inform how long we need to retain our data.

We don't set out the specific and detailed retention and disposal arrangements for individual documents. We create new documents every day, and it would be impossible for a single retention schedule to encompass all of these. But each document we create will fall into one of these categories.

The corporate retention schedule is a living document that we will revise and update on a regular basis. Our Executive Board will approve any significant changes, or additions (that might include new functions and major projects). Minor additions or changes will be agreed by the director or head of department and the archives and records manager.

If a document needs to be destroyed, all copies in that form must be destroyed at the same time.

Records that should be kept permanently should be passed on either to the archives and records team at archivesandrecords@nmc-uk.org to be archived or stored off site.

Where records need to be kept for many years, it may be possible to scan paper documents to convert them to electronic files for ease of storage. Speak to archivesandrecords@nmc-uk.org for advice.

If there's an ongoing legal issue, it's vital that we keep any records and information that might be needed. They must not be amended or deleted until the threat of legal action has gone.

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Explanation of the Retention Schedule Format	
Table Headers	Definition of Content
Record type/description	Identifies the records held by the business. All records we create must be listed in the retention schedule.
Record format	The format of records is typically, but not limited to, either electronic (E) or paper (P). Some records will have multiple entries as there may be separate rules for retention of the same type of record in different formats.
Rationale for retention	This column details the full reasoning for the retention of a document. It is used to state why we are retaining the document and if the retention relates to other records. If the retention relates to a legislative need then the piece of legislation will be noted here.
Type of retention	This is a summary column which gives an indication at a glance of the reason for retention. Examples include: for business need, as evidence, for corporate memory, or legislative reasons.
Retention period - years	Listed here is the retention period for the record. If applicable, specifics for the retention of a document are also listed here. For example: two years from last correspondence. Retain a summary record of transaction and a schedule of documents disclosed.

Disposal	This column is used to explain what will happen to the record at the end of its retention period.
This record contains personal data and/or special categories of data (Please identify if yes)	How we process Personal Data and Special Categories of Data will affect the retention of some records. Being able to identify the presence of one or both of these Data types in our records is important to ensure we are correctly handling information provided to us by the public and our staff. This will also be a step to bringing the business into compliance with data protection legislation.

Fitness to Practise Directorate

Record Type / Description	Record Format	Rationale for Retention	Type of Retention	Retention Period - Years	Disposal	This Record Contains Personal Data and/or Special Categories of Data (Please Identify if Yes)
Fitness to Practise						
Case Management						
Cases with no further action at screening stage – Electronic Format	E	Takes into account that: - We need to keep records for operational and administrative purposes. - These decisions can be reviewed and challenged within certain time limits. - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past. - The justification for holding fitness to practise information about registrants where we consider that there is no regulatory concern diminishes with time.	Business need	15 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data
Cases with no further action at screening stage – Paper Format	P	We sometimes receive queries about cases after they are closed and may need to refer to our paper records for ease of reference.	Business need	1 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data
Cases closed with no further action by an FtP Committee – Electronic Format	E	Takes into account that: - We need to keep records for operational and administrative	Business need	20 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data

		<p>purposes</p> <ul style="list-style-type: none"> - These decisions can be reviewed within certain time limits - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past - The justification for holding fitness to practise information about registrants where serious concerns have been raised (but after further investigation) no regulatory action is considered necessary, diminishes with time. 				
Cases closed with no further action by an FtP Committee – Paper Format	P	We sometimes receive queries about cases after they are closed and may need to refer to our paper records for ease of reference.	Business need	1 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data
Cases where a caution order has been imposed between one and five years by an FtP Committee – Electronic Format	E	<p>Takes into account that:</p> <ul style="list-style-type: none"> - We need to keep records for operational and administrative purposes - These decisions can be appealed within certain time limits - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past - For public protection reasons it is necessary to keep a record of the fact that a concern has been raised about a registrant that is 	Business need	75 from expiry of caution	Destroy	Yes – Personal Data and Special Categories of Data

		serious enough for an FtP Committee to find impairment and/or impose a sanction.				
Closed by an FtP Committee – impairment found and/or sanction given – Electronic Format	E	<p>Takes into account that:</p> <ul style="list-style-type: none"> - We need to keep records for operational and administrative purposes - These decisions can be appealed within certain time limits - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past - For public protection reasons it is necessary to keep a record of the fact that a concern has been raised about a registrant that is serious enough for an FtP Committee to find impairment and/or impose a sanction. 	Business need	75 from expiry of the sanction/closure of the case	Destroy	Yes – Personal Data and Special Categories of Data
Closed by the Investigating Committee or Case Examiners with a no case to answer finding – Electronic Format	E	<p>Takes into account that:</p> <ul style="list-style-type: none"> - We need to keep records for operational and administrative purposes - These decisions can be reviewed within certain time limits - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past - The justification for holding fitness to practise information about registrants where serious concerns have been raised (but after further investigation) it is found that there is no case to 	Business need	20 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data

		answer, diminishes with time.				
Closed by Investigating Committee or Case Examiners no case to answer – Paper Format	P	We sometimes receive queries about cases after they are closed and may need to refer to our paper records for ease of reference.	Business need	1 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data
Cases closed by Case Examiners with no case to answer decision, but with advice issued – Electronic Format	E	Takes into account that: - We need to keep records for operational and administrative purposes - These decisions can be reviewed within certain time limits - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past - The justification for holding fitness to practise information about registrants where serious concerns have been raised but (after further investigation) it is found that there is no case to answer, diminishes with time.	Business need	20 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data
Cases closed by Case Examiners with no case to answer decision, but with advice issued – Paper Format	P	We sometimes receive queries about cases after they are closed and may need to refer to our paper records for ease of reference.	Business need	1 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data
Cases closed by Case Examiners with no case to answer decision, but with a warning issued – electronic format	E	Takes into account that: - We need to keep records for operational and administrative purposes. - These decisions can be	Business need	20 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data

		<p>reviewed within certain time limits.</p> <ul style="list-style-type: none"> - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past. - The justification for holding fitness to practise information about registrants where serious concerns have been raised but (after further investigation) it is found that there is no case to answer, diminishes with time. 				
Cases closed by Case Examiners with no case to answer decision but with a warning issued – paper format	P	<p>We sometimes receive queries about cases after they are closed and may need to refer to our paper records for ease of reference.</p>	Business need	1 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data
Cases closed by Case Examiners with an undertaking accepted– Electronic Format	E	<p>Takes into account that:</p> <ul style="list-style-type: none"> - We need to keep records for operational and administrative purposes. - Decisions can be reviewed or appealed within certain periods of time. - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past. - For public protection reasons it is necessary to keep a record of the fact that a concern has been raised about a registrant that is serious enough to be to be dealt with by way of undertaking. 	Business need	75 from removal of the undertakings	Destroy	Yes – Personal Data and Special Categories of Data

Cases closed by Case Examiners with an undertaking accepted – paper format	P	Takes into account that we sometimes receive queries from referrers, our regulator etc. about cases after they are closed and may need to refer to our paper records for ease of reference	Business need	1 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data
Closed at an FtP Committee hearing or meeting following finding of no impairment - no action taken –	E	Takes into account that: - We need to keep records for operational and administrative purposes. - These decisions can be appealed within time limits - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past. - The justification for holding fitness to practise information about registrants where serious concerns have been raised but (after further investigation) it is found no action should be taken, diminishes with time.	Business need	20 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data
Closed at an FtP Committee hearing or meeting following finding of no impairment - no action taken – Paper Format	P	Takes into account that we sometimes receive queries from referrers, our regulator etc. about cases after they are closed and may need to refer to our paper records for ease of reference	Business need	1 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data
Closed at an FtP Committee hearing or meeting - impairment found and/or sanction given – Electronic Format including any audio files	E	Takes into account that: - We need to keep records for operational and administrative purposes. - Decisions where no regulatory	Business need	75 from the expiration of the sanction/closure of the case	Destroy	Yes – Personal Data and Special Categories of Data

and transcripts		<p>action has been taken can be reviewed or appealed within certain periods of time.</p> <ul style="list-style-type: none"> - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past. - For public protection reasons it is necessary to keep a record of the fact that a concern has been raised about a registrant that is serious enough to result in a finding of impairment and/or sanction. 				
Closed at an FtP Committee hearing or meeting (including cases resolved via the consensual panel determination process) - impairment found and/or sanction given – Paper Format	P	<p>Takes into account that we sometimes receive queries from referrers, our regulator etc. about cases after they are closed and may need to refer to our paper records for ease of reference.</p>	Business need	1 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data
Voluntary removal from the register – Electronic Format	E	<p>Takes into account that:</p> <ul style="list-style-type: none"> - We need to keep records for operational and administrative purposes. - This information may be relevant when considering applications for readmission to the register. - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past. - For public protection reasons it is necessary to keep a record of the fact that a concern has been raised about a registrant that is 	Business need	75 from closure of the case	Destroy	Yes – Personal Data and Special Categories of Data

		serious enough to be to be dealt with by an FtP Committee.				
Voluntary removal from the register – Paper Format	P	Takes into account that we sometimes receive queries from referrers, our regulator etc. about cases after they are closed and may need to refer to our paper records for ease of reference.	Business need	1 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data
Restoration to the Register- application refused – Electronic Format	E	Takes into account that: - We need to keep records for operational and administrative purposes. - These decisions can be appealed within certain time limits. - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past. - For public protection reasons it is necessary to keep a record of the fact a concern was raised about a registrant that was serious enough for them to be struck-off the register and refused restoration.	Business need	75 from closure of the application	Destroy	Yes – Personal Data and Special Categories of Data
Restoration to the Register – application accepted – Electronic Format	E	Takes into account that: - We need to keep records for operational and administrative purposes. - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past. - For accuracy reasons it is	Business need	75 from closure of the application	Destroy	Yes – Personal Data and Special Categories of Data

		necessary to keep a record of the fact the registrant was restored to the register after being struck-off.				
Restoration to the Register – application refused/accepted – Paper Format	P	Takes into account that we sometimes receive queries from referrers, our regulator etc. about cases after they are closed and may need to refer to our paper records for ease of reference.	Business need	1 from closure of the application		Yes – Personal Data and Special Categories of Data
Cases closed for administrative reasons at a pre-meeting– Electronic Format	E	Takes into account that: - We need to keep records for operational and administrative purposes. - This information may be relevant when considering applications for readmission to the register. - We may be called upon to provide information to public inquiries, our regulator etc. about the way we have handled cases in the past. - For public protection reasons it is necessary to keep a record of the fact that a concern has been raised about a registrant that is serious enough to be to be dealt with by an FtP Committee.	Business need	75 from closure of the case	Destroy	Yes – Personal Data and Special Categories of Data
Cases closed for administrative reasons at a pre-meeting – Paper Format	P	Takes into account that we sometimes receive queries from referrers, our regulator etc. about cases after they are closed and may need to refer to our paper records for ease of reference.	Business need	1 from closure of case	Destroy	Yes – Personal Data and Special Categories of Data

Transcripts and minutes of PPC, PCC, HC, CCC and IC (held separately from the case file) 2002-2011	E	Takes into account our statutory obligation to provide the transcripts to any party to the proceedings upon request.	Business need	75 years from date of hearing	Destroy	Yes – Personal Data and Special Categories of Data
Minutes (and marked up agendas where minutes are missing) of PPC PCC and HC of UKCC - up to March 2002 – Paper Format	P	These records have been included on this Retention Schedule as they are periodically recalled from The National Archives if someone who was removed under the UKCC is applying for restoration, or if further allegations are received.	Historical reference	Permanent	Held by The National Archives	Yes – Personal Data and Special Categories of Data
Support Hearings						
Requests for transcripts	E	Transparency of process, for evidence and audit purposes	Business need	6	Destroy	Yes – Personal Data and Special Categories of Data
Shorthand writers and legal assessor bookings	E	For audit and contractual purposes	Business need	6	Destroy	Yes – Personal Data
Panellists						
Panellists and chairs initial training	E	For contractual reasons	Business need	6 from expiry of the panel member's final term	Destroy	Yes – Personal Data
Panellists and chairs continuing development	E	For contractual reasons	Business need	6 from expiry of the panel member's final term	Destroy	Yes – Personal Data
Panellists and chairs appraisal reports, post appraisal forms and documents and correspondence	E	For contractual reasons	Business need	6 from expiry of the panel member's final term	Destroy	Yes – Personal Data
Panellists and chairs pre-appraisal forms and documents	E	For contractual reasons	Business need	6 from expiry of the panel member's final term	Destroy	Yes – Personal Data
Decision review group	E	Outcomes applied as lessons learned and incorporated into	Business need	6 after that DRG meeting	Destroy	Yes – Personal Data and Special Categories of Data

		training				
Panel member personnel records	E	Contractual reasons	Business need	6 from expiry of the panel member's final term	Destroy	Yes – Personal Data and Special Categories of Data
Database with summary of panellists details and period of appointment	E	Will provide a history of panellist's terms of appointment. May be needed when reviewing cases as part of historic reviews.	Evidential and corporate memory	Permanent	Retain	Yes – Personal Data and Special Categories of Data
Panellist and chairs recruitment	E	Consistent with recommendation for retention from external sources.	Business need	6 from expiry of the panel member's final term	Destroy	Yes – Personal Data and Special Categories of Data
Panel allocation plans for hearings/meetings	E	A spreadsheet which provides a plan for each listed hearing/meeting, the panel members allocated to them and the sites.	Business need	1 after last hearing/meeting in plan	Destroy	Yes – Personal Data
Panel secretary and panel members notes of hearings/meetings	P	Handwritten notes to aid the decision making process for panels and to support the drafting of the decisions documentation. These are not necessary once the hearing/meeting has concluded as we have the information in the panel's published determinations and also in digital recordings/transcripts of the hearing/meeting	Business need	Destroyed at the end of a hearing/meeting when it is concluded	Destroy	Yes – Personal Data and Special Categories of Data
Employer Link Service						
Records of calls into ELS	E	Takes into account that: - We need to keep records for operational and administrative purposes. - We may be called upon to	Evidential/Audit requirement	15 years from call	Destroy	Yes – Personal Data and Special Categories of Data

		provide information to public inquiries, our regulator etc. about the way we have handled cases in the past. - The justification for holding fitness to practise information about registrants where we consider that there is no regulatory concern diminishes with time.				
Employer business contact details	E	To make contact with employers who have already had contact with ELS	Business need	Content Reviewed Annually	Retain	Yes – Personal Data
Regulatory Intelligence Unit (RIU)						
Whistleblowing spreadsheet	E	The NMC as a Prescribed Person is required to produce an annual report on whistleblowing disclosures made by workers. Legislative requirement Small Business, Enterprise and Employment Act 2015 s.148	Business need	1 from publication of report	Destroy	Yes – Personal Data
Whistleblowing correspondence	E	As above	Business need	1 from publication of report <i>*Unless information is used for other purposes e.g. fitness to practise cases</i>	Destroy	Yes – Personal Data
Intelligence Summary – pseudonymised summary of all information received by RIU	E	Research purposes	Business need	Permanent	Retain	Yes – Personal Data (Case References)
Regulator Reports – summary stats of FtP referrals for each country	E	Research purposes	Business need	Permanent	Retain	Yes – Personal Data (Case References)

Briefings/Profiles – summary of themes and risks/concerns from all RIU sources	E	Research purposes	Business need	Permanent	Retain	Yes – Personal Data (Case References)
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Education and Standards Directorate

Record Type / Description	Record Format	Rationale for Retention	Type of Retention	Retention Period - Years	Disposal	This Record Contains Personal Data and/or Special Categories of Data (Please Identify if Yes)
Education and Standards						
Quality Assurance (QA) of Education – Contract Management records held in TRIM or Outlook						
Contract and schedule maintenance (includes notes of contract review meetings, contract monitoring actions and correspondence related to commercial aspects of contract)	E	Contractual reasons. Historical record of activity and decisions made.	Business need	6 (after expiry of contracts/ arrangements)	Destroy	Yes – Personal Data
Reporting (breakdown of costs, activity of visits undertaken, risk registers, schedule of work)	E	Contractual reasons. Historical record of activity and decisions made	Business need	6 (after expiry of contracts/ arrangements)	Destroy	Yes – Personal Data
Other documents related to commercial activity as part of undertaking of contract of services in relation to QA of education	E	Contractual reasons. Historical record of activity and decisions made, and for auditing purposes	Business need	6 (after expiry of contracts/ arrangements)	Destroy	Yes – Personal Data
Other documentation to enable running of QA contract by external provider						
Supporting activity and data logs	E	For arranging and managing QA activity	Evidential/ corporate memory	6	Destroy	Yes – Personal data
Contact and professional details log for subcontractors	E	For arranging and managing QA activity	Evidential/ corporate memory	Until Superseded + 1	Destroy	Yes – Personal Data and Special Categories of Data
Stakeholder correspondence distinct from that related to QA activity outcomes	E	For administrative and operational reasons	Evidential/ corporate memory	3	Destroy	Yes – Personal data

All other documents	E	For arranging and managing QA activity	Evidential/corporate memory	6	Destroy	Yes – Personal Data and Special Categories of Data
Quality Assurance of Education – AEI records held on externally maintained media						
Reports of QA activity: approval of institutions	E	Contractual reasons. Historical record of activity and decisions made	Evidential/corporate memory	6 (after expiry of contracts/arrangements)	Destroy	Yes – Personal data
Reports of QA activity: programme approval	E	Contractual reasons. Historical record of activity and decisions made	Evidential/corporate memory	6 (after expiry of contracts/arrangements)	Destroy	Yes – Personal data
Reports of QA activity: programme major modification	E	Contractual reasons. Historical record of activity and decisions made	Evidential/corporate memory	6 (after expiry of contracts/arrangements)	Destroy	Yes – Personal data
Reports of QA activity: programme endorsement	E	Contractual reasons. Historical record of activity and decisions made	Evidential/corporate memory	6 (after expiry of contracts/arrangements)	Destroy	Yes – Personal data
Reports of QA activity: programme minor modification	E	Contractual reasons. Historical record of activity and decisions made	Evidential/corporate memory	6 (after expiry of contracts/arrangements)	Destroy	Yes – Personal data
Minutes of QA activity	E	Contractual reasons. Historical record of activity and decisions made	Evidential/corporate memory	6 (after expiry of contracts/arrangements)	Transfer to NMC/review for retention in NMC Archive (if not duplicated)	Yes – Personal data
Supporting documentation for QA activity	E	Contractual reasons. Historical record of activity and decisions made	Evidential/corporate memory	6 (after expiry of contracts/arrangements)	Transfer to NMC/review for	Yes – Personal data

				arrangements)	retention in NMC Archive (if not duplicated)	
Monitoring reports	E	Contractual reasons. Historical record of activity and decisions made	Evidential/corporate memory	6 (after expiry of contracts/arrangements)	Destroy	Yes – Personal data
Supporting documentation for monitoring activity	E	Contractual reasons. Historical record of activity and decisions made	Evidential/corporate memory	6 (after expiry of contracts/arrangements)	Transfer to NMC/review for retention in NMC Archive (if not duplicated)	Yes – Personal data
Minutes of monitoring activity	E	Contractual reasons. Historical record of activity and decisions made	Evidential/corporate memory	6 (after expiry of contracts/arrangements)	Transfer to NMC/review for retention in NMC Archive (if not duplicated)	Yes – Personal data
Extraordinary review reports	E	Contractual reasons. Historical record of activity and decisions made	Evidential/corporate memory	6 (after expiry of contracts/arrangements)	Destroy	Yes – Personal data
Supporting documentation for extraordinary review activity	E	Contractual reasons. Historical record of activity and decisions made	Evidential/corporate memory	6 (after expiry of contracts/arrangements)	Transfer to NMC/review for retention in NMC Archive (if not duplicated)	Yes – Personal Data and Special Categories of Data
Minutes of extraordinary review activity	E	Contractual reasons. Historical record of activity and decisions made	Evidential/corporate memory	6 (after expiry of contracts/	Transfer to NMC/review for	Yes – Personal Data and Special Categories of Data

				arrangements)	retention in NMC Archive (if not duplicated)	
Correspondence from stakeholders	E	For operational and administrative reasons.	Evidential/corporate memory	3	Destroy	Yes – Personal data
AEI and Historical (LSA) records held on approved programmes database (APD) and/or TRIM						
QA activity supporting documents	E	Historical record of activity and decisions made	Evidential/corporate memory/business need	Permanent	Review for retention in NMC Archive	Yes – Personal Data and Special Categories of Data
QA activity minutes	E	Historical record of activity and decisions made	Evidential/corporate memory/business need	Permanent	Review for retention in NMC Archive	Yes – Personal Data
Contact details for stakeholders	E	Historical record of activity and decisions made	Evidential/corporate memory/business need	Until Superseded + 1	Destroy	Yes – Personal data
Confirmation letters	E	Historical record of activity and decisions made	Evidential/corporate memory/business need	Permanent	Review for retention in NMC Archive	Yes – Personal Data
Correspondence from stakeholders	E	This is consistent with retention of other correspondence files	Evidential/corporate memory/business need	Permanent	Review for retention in NMC Archive	Yes – Personal Data
Quality Assurance of Education – Internal meetings noted on TRIM						
Agendas papers and notes of the Registrar's Education Group	E	Historical record of activity and decisions made	Evidential/corporate memory/business need	7	Review for retention in NMC Archive	Yes – Personal Data and Special Categories of Data
Agenda, materials and notes of	E	Historical record of activity and	Evidential/	7	Review for	Yes – Personal Data and

ESPM		decisions made	corporate memory/business need		retention in NMC Archive	Special Categories of Data
Agenda, materials and notes of RESQ	E	Historical record of activity and decisions made	Evidential/corporate memory/business need	7	Review for retention in NMC Archive	Yes – Personal Data and Special Categories of Data
Agenda, materials and notes of other meetings	E	Historical record of activity and decisions made	Evidential/corporate memory/business need	7	Review for retention in NMC Archive	Yes – Personal Data and Special Categories of Data
Quality Assurance of Education – Other documents held on TRIM or in Outlook directorate-wide						
Correspondence from stakeholders and responses	E	Operational and administrative purposes.	Evidential/corporate memory/business need	3	Review for retention in NMC Archive	Yes – Personal data and Special Categories of Data
Logs of correspondence from stakeholders and responses (would include E&S and OCCE queries)	E	Operational and administrative purposes.	Evidential/corporate memory/business need	3	Review for retention in NMC Archive	Yes – Personal data and Special Categories of Data
Logs of information to support QA, etc. activity	E	Historical record of activity and decisions made	Evidential/corporate memory/business need	7	Review for retention in NMC Archive	Yes – Personal data
Anything else not captured in other categories	E	Historical record of activity and decisions made	Evidential/corporate memory/business need	7	Review for retention in NMC Archive	Yes – Personal Data and Special Categories of Data
Other						
Physical records (duplicates of those held in other places - 23PP Archive/Offsite Storage)	P	Duplicates for contingency in case of server failures, etc.	Evidential/corporate memory/business need	7	Review for retention in NMC Archive	Yes – Personal data
Education and Standards						

Local Supervising Authorities (LSA) records held on externally maintained portal

Only reports kept for historical record – no longer have a regulatory remit in this area as of 1 April 2016

Local Supervising Authority (LSA) Annual Reports	E	Historical record of activity	Evidential/ corporate memory	7	Destroy	Yes – Personal Data
LSA annual self-assessment reports	E	Historical record of activity	Evidential/ corporate memory	7	Destroy	Yes – Personal Data
LSA annual self-assessment supporting documentation	E	Historical record of activity	Evidential/ corporate memory	3	Destroy	Yes – Personal Data
LSA quarterly quality monitoring report (QMMR) call records	E	Historical record of activity	Evidential/ corporate memory	3	Destroy	Yes – Personal Data
Records of LSA annual monitoring	E	Historical record of activity	Evidential/ corporate memory	7	Destroy	Yes – Personal Data
Records of LSA annual monitoring action plans	E	Historical record of activity	Evidential/ corporate memory	3	Destroy	Yes – Personal Data
LSA Extraordinary Reviews final reports	E	Historical record of activity	Evidential/ corporate memory	7	Destroy	Yes – Personal Data
LSA extraordinary reviews minutes	E	Historical record of activity	Evidential/ corporate memory	7	Destroy	Yes – Personal Data
LSA extraordinary review action plans	E	Historical record of activity	Evidential/ corporate memory	3	Destroy	Yes – Personal Data
Correspondence with and / or about independent midwives and FtP cases of independent midwives	E	This is consistent with retention of other correspondence files	Business need/reference	3	Destroy	Yes – Personal Data and Special Categories of Data

Office of the Chair and Chief Executive

Record Type / Description	Record Format	Rationale for Retention	Type of Retention	Retention Period - Years	Disposal	This Record Contains Personal Data and/or Special Categories of Data (Please Identify if Yes)
Governance						
Governance documents						
Agendas, minutes and papers of Council meetings (open and closed sessions); agendas, minutes and papers of committee meetings; agendas, minutes and papers of board meetings; signed minutes	E	Provides evidence of decisions made and the governance process undertaken by the organisation. Also provides an historical reference of the evolution of the regulation of nurses and midwives.	Evidential and corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data
Agendas, minutes and papers of task and finish, advisory and working groups	E	Provides evidence of decisions made and the governance process undertaken by the organisation. Also provides an historical reference of the evolution of the regulation of nurses and midwives.	Evidential and corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data
Member information						
Council member information	E	Provides historical information about the formal governance structure of the NMC. For legal and employment reasons, and for audit purposes.	Evidential and corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data
Non-Council member information	E	Provides historical information about the formal governance structure of the NMC. For legal and employment reasons, and for audit purposes.	Evidential and corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data

Elected members 2007-2008	E	Provides historical information about the formal governance structure of the NMC and its preceding bodies.	Evidential and corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data
Member appointments – unsuccessful applicants	E	Provides a history of applicants and evidence of the reasons why they were unsuccessful. Provides evidence in case of challenge or appeal.	Evidential and business need	Permanent	Retain in NMC Archive	Yes – Personal Data
Registers of interest (for members and directors)	E	Provides transparency and ensures that any perceived or actual conflicts of interest are managed appropriately.	Evidential and corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data
Statutory annual reports						
Annual report and accounts	E	Provides historical information about the structure and performance of the NMC and its preceding bodies.	Evidential and corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data
Annual Fitness to Practise report	E	Provides historical information about the structure and performance of the NMC and its preceding bodies.	Evidential and corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data
Whistleblowing						
Whistleblowing log	E	Provides a summary of whistleblowing concerns raised, the outcome of any investigation and provides a means for tracking actions arising.	Evidential and corporate memory	Permanent	Retain for the life of the whistleblowing log	Yes – Personal Data
Whistleblowing records of investigations	E	For legal purposes, and to provide evidence of investigations and actions undertaken after a worker reports a concern under the whistleblowing policy.	Evidential and corporate memory	Permanent	Retain for the life of the whistleblowing log	Yes – Personal Data

Whistleblowing records of training	E	For reporting purposes and audit purposes.	Evidential and corporate memory	Permanent	Retain for the life of the whistleblowing log	Yes – Personal Data
Gifts and hospitality						
Gifts and hospitality log	E	For transparency purposes, and to reduce the risk of bribery and corruption.	Evidential and business need	Permanent	Retain for the life of the gifts and hospitality log	Yes – Personal Data
Gifts and hospitality forms	E	For transparency purposes, and to reduce the risk of bribery and corruption.	Evidential and business need	Permanent	Retain for the life of the gifts and hospitality log	Yes – Personal Data
Corporate Legal Services/General Counsel						
Internal and external legal advice and related instructions	E	Corporate memory	Evidential and corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data and Special Categories of Data
Litigation Files - Physical	P	To enable a quick response to out of time appeals	Manage legal risk	6 Months from expiry of appeal period	Destroy	Yes – Personal Data and Special Categories of Data
Litigation Files - Electronic	E	Corporate memory	Evidential and corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data and Special Categories of Data
Briefings, training material, reports and presentations	P	Corporate memory	Business need	Until superseded or as soon as reasonably practicable after no longer needed	Destroy	Yes – Personal Data and Special Categories of Data
Briefings, training material, reports and presentations	E	Corporate memory	Business need	7	Destroy	Yes – Personal Data and Special Categories of Data
Other administrative documentation (such as team meeting agendas, minutes and team briefings)	P	For administrative purposes	Business need	Until superseded or as soon as reasonably practicable after no longer needed	Destroy	Yes – Personal Data and Special Categories of Data
Other administrative documentation (such as team	E	For administrative purposes	Business need	3	Destroy	Yes – Personal Data and Special Categories of Data

meeting agendas, minutes and team briefings)						
Compliance with Legislation (Other than NMC Legislation)						
Authorisation under the Companies Act for the use of the word 'nurse' or 'nursing' in a company name	E	Corporate Memory	Business need	7	Destroy	Yes – Personal Data
Communication						
Events Management						
Events details, feedback and evaluation	E	To allow for further stakeholder engagement and to keep a record of attendees at events	Business need	7	Destroy	Yes – Personal Data
Events administration	E		Business need	3	Destroy	Yes – Personal Data
External NMC Consultations						
NMC consultation analysis, qualitative and quantitative data and QA sampling	E & P	Provides background for comparison with future consultations	Business Need	7	Destroy	Yes – Personal Data
Marketing						
Photo library	E	For marketing purposes	Business Need	Photos are used for 5 years and then archived	Retain in NMC Archive	Yes – Personal Data
Market research and surveys	E	Background for comparison for future research and surveys	Business Need	7	Destroy	Yes – Personal Data
Registrant Data for Mass Email Communications	E	Kept for the purposes of stakeholder relations	Business Need	Permanent	Maintain	Yes – Personal Data
Website and Social Networking						
Newsletters	E	Corporate memory	Business Need	Permanent	Retain in NMC Archive (Every 3 years)	Yes – Personal Data
Subscription List to Newsletters	E	To maintain list of subscribers	Business Need	For duration of the Newsletter	Retain in NMC Archive (Every	Yes – Personal Data

					3 years)	
FtP New Referral Website Forms	E	To provide a backup copy of referral forms	Business Need	6 Months	Destroy	Yes – Personal Data
NMC website ‘snapshots’	E	Copies taken for Welcome Library website archive twice per year	Signed agreement with Welcome Library to archive NMC website	Permanent	Retain in NMC Archive	Yes – Personal Data
Biographies	E	To provide the public information about our executive team.	Business need	Until superseded	Destroy	Yes – Personal Data and Special Categories of Data
Media Relations						
Press releases	E	Retained for archival purposes.	Business Need	Open publically for 7 years and then Archived	Retain in NMC Archive	Yes – Personal Data
News articles (written by NMC for publication)	E	Retained for archival purposes.	Business Need	Open publically for 7 years and then Archived	Retain in NMC Archive	Yes – Personal Data
Media briefings	E	For reference	Business Need	3	Destroy	Yes – Personal Data
Correspondence with media	E	For reference	Business Need	3	Destroy	Yes – Personal Data
Strategic Engagement						
Communications Plans and Strategies	E	Corporate memory	Business Need	Permanent	Retain in NMC Archive	Yes – Personal Data
Presentations and speeches	E	Corporate memory	Business Need	Permanent	Retain in NMC Archive	Yes – Personal Data
Administrative Correspondence						
Duplicate copies of responses to external correspondence (sometimes known as diary or day copies)	E & P	For audit and record keeping purposes	Business need	2	Destroy	Yes – Personal Data
Correspondence and availability schedules arranging meetings/	E	For administrative and operational purposes	Business need	2	Destroy	Yes – Personal Data

travel/speaking engagements, itineraries						
Address lists and labels	E	For administrative and operational purposes	Business need	2	Destroy	Yes – Personal Data
Copies of external correspondence	E	For audit, record keeping and reference	Business need	3	Destroy	Yes – Personal Data
Correspondence and availability schedules arranging meetings/travel/speaking engagements, itineraries	E	For administrative and operational purposes	Business need	2	Destroy	Yes – Personal Data
Stakeholder Engagement						
Meetings and Briefings						
Stakeholder Email Lists held in Mailing System	E	For administrative and operational purposes	Business need	Ongoing	Maintain	Yes – Personal Data
Agendas and briefing papers of one-to-one or small group meetings (including both internal and external participants)	E	For administrative and operational purposes	Business need	3	Destroy	Yes – Personal Data
Papers of team meetings and team briefings	E	For administrative and operational purposes	Business need	2	Destroy	Yes – Personal Data

Registration and Revalidation Directorate

Record Type / Description	Record Format	Rationale for Retention	Type of Retention	Retention Period - Years	Disposal	This Record Contains Personal Data and/or Special Categories of Data (Please Identify if Yes)
Registration and Revalidation						
UK Registration						
Register of nurses and midwives	E	To have a record of nurse/midwife details during their period of registration and then for reference purposes. Once a nurse or midwife has left our register we need to keep a record of this in case they can apply for readmission.	Evidential and corporate memory/ business need	Permanent	Maintain/ Retain in NMC Archive	Yes – Personal Data and Special Categories of Data
Application documents	E	Evidences why we were satisfied an individual should be entered onto our register or refused registration. We keep this for record keeping and audit purposes.	Business need	Permanent	Maintain	Yes – Personal Data and Special Categories of Data
Paper application documents	P	We may need to refer to a hard copy file while we process the application.	Business need	3 months	Destroy	Yes – Personal Data and Special Categories of Data
Information received from higher education institutions via secure NMC portal set up in 2015	E	These documents are part of the application, which we keep for record keeping and audit purposes.	Business need	Permanent	Maintain / Retain in NMC Archive	Yes – Personal Data and Special Categories of Data
Information from local supervising authorities (pre- April 2017)	E	Record keeping and audit purposes. To enable us to answer queries.	Business need	Permanent	Maintain/ Retain at NMC Archive	Yes – Personal Data and Special Categories of Data

New and recordable qualifications	E	Evidences why we were satisfied an individual should have an additional qualification entered onto our register. We keep this for record keeping and audit purposes.	Business need	Permanent	Maintain / Retain at NMC Archive	Yes – Personal Data
Revalidation PREP Audit	E	Provides background for future revalidation work	Business need	7	Destroy	Yes – Personal Data
Counter Fraud Investigations						
Papers relating to fraud cases - 2007	E	Record keeping and audit purposes.	Business need	7	Destroy	Yes – Personal Data
International Assessment						
International registration administration database	E	Administrative and operational purposes.	Business need	3	Destroy	Yes – Personal Data and Special Categories of Data
Application documents	E	As above	Business need	Permanent	Maintain / Retain in NMC Archive	Yes – Personal Data and Special Categories of Data
Paper application documents	P	As above	Business need	3 months	Destroy	Yes – Personal Data and Special Categories of Data
EU Article 10 Assessments	E	We may need to refer back to the decisions we have made which are valid for two years from issue of letter.	Business need	2	Destroy	Yes – Personal Data
Historic overseas application records (up to March 2002)	E	Evidences why we were satisfied an individual should have an additional qualification entered onto our register. We keep this for record keeping and audit purposes.	Business need	Permanent	Destroy	Yes – Personal Data and Special Categories of Data
Audit, reports and legal						
Performance and Risk Management Reporting						
Correspondence with PSA relating to annual performance	E	Evidence of information requested and provided to	Evidential and business need	3	Destroy	Yes – Personal Data and special categories of data

review		external stakeholders				
Quality Assurance						
QA review background documentation	E	All documentation gathered during the process of carrying out a QA review	Business need	3	Destroy	Yes – Personal Data
Reporting and statistics						
Critical incidents	E	For audit and record keeping purposes.	Business need	3	Destroy	Yes – Personal Data and Special Categories of Data
Customer surveys	E	Research purposes	Business need	3	Destroy	Yes – Personal Data
Legal advice						
Legal advice (including instructions)	E	Corporate memory	Evidential and corporate memory	Permanent	Maintain/Retain in NMC Archive	Yes – Personal Data
Correspondence with External Stakeholders						
Complaints						
Legal advice	E	Legal advice received in respect of a complaint for reference	Business need	6 from resolution of complaint	Destroy	Yes – Personal Data and Special Categories of Data
Complaints about NMC or staff of NMC and associated correspondence	E	Necessary to be able to refer to complaint history in dealing with any current concerns	Business need	6 from resolution of complaint	Destroy	Yes – Personal Data and Special Categories of Data
Registrar and Appeal Support Team						
RAST						
Documents relating to applications requiring a Registrar decision. For example, UKIM reports, employer references, PNC's, DNA reports, GP reports and general correspondence.	P	Hard copies of ARAG reports kept in case of an appeal or reapplications.	Business need	6 months post decision	Destroy	Yes – Personal Data and Special Categories of Data
Documents relating to applications requiring a Registrar decision. For example, UKIM	E	Evidences why we were satisfied an individual should be entered onto our register or	Business need	Permanent	Maintain / Retain in NMC Archive	Yes – Personal Data and Special Categories of Data

reports, employer references, PNC's, DNA reports, GP reports and general correspondence.		refused registration. We keep this for record keeping and audit purposes.				
Minutes and papers of the Registrar's Advisory Group	E	Evidences why we were satisfied an individual should be entered onto our register or refused registration. We keep this for record keeping and audit purposes.	Business need	Permanent	Maintain / Retain in NMC Archive	Yes – Personal Data and Special Categories of Data
Documents relating to registration appeals i.e. case files. Documents can include UKIM reports, employer references, PNC's, DNA reports, GP reports and general correspondence.	P	Hard copies of cases are kept in the event of a further appeal. Paper bundles are required for appeal hearing.	Business need	6 months post appeal	Destroy	Yes – Personal Data and Special Categories of Data
Documents relating to registration appeals i.e. case files. Documents can include UKIM reports, employer references, PNC's, DNA reports, GP reports and general correspondence.	E	Evidences why we were satisfied an individual should be entered onto our register or refused registration. We keep this for record keeping and audit purposes	Business need	Permanent	Maintain / Retain in NMC Archive	Yes – Personal Data and Special Categories of Data
Panel appeal determinations	E	In case of further appeal or reapplication. Also retained as record of decision made by panel and in order to draft decision letter.	Business need	Permanent	Maintain / Retain in NMC Archive	Yes – Personal Data and Special Categories of Data
Litigation documents – County Court appeals and Court of Appeal cases	P	In case of further appeals or reapplication.	Business need	6 months post appeal	Destroy	Yes – Personal Data and Special Categories of Data
Litigation documents – County Court appeals and Court of Appeal cases	E	Evidences why we were satisfied an individual should be entered onto our register or refused registration. We keep this for record keeping and audit	Business need	Permanent	Maintain / Retain in NMC Archive	Yes – Personal Data and Special Categories of Data

		purposes				
Research and Evidence						
Research and Evidence						
Data from research studies	E	Background for comparison for future research	Business need	5	Destroy	Yes – Personal Data and Special Categories of Data

People and Organisational Development

Record Type / Description	Record Format	Rationale for Retention	Type of Retention	Retention Period - Years	Disposal	This Record Contains Personal Data and/or Special Categories of Data (Please Identify if Yes)
Human Resources						
Staff Management						
Organisation Charts	E	Corporate memory	Evidential and corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data
Payroll – Administrative Papers	E	These are administrative papers which feed into the processing of payroll by finance dept.	Business need	7	Destroy	Yes – Personal Data
Recruitment administration	E	In case any claims arise from the recruitment process. An applicant can make a claim within 3 months and then 3 months is added for preparation of any case.	Business need	6 months after recruitment campaign ends	Destroy	Yes – Personal Data and Special Categories of Data
Unsuccessful job applications, short-listing forms, interview forms and associated documentation.	P	Recommendation retention - because of the time limits in the Equality Act, minimum retention periods for records relating to advertising of vacancies and job applications should be at least 6 months.	Business need/legal requirement	6 months after recruitment campaign ends	Destroy	Yes – Personal Data and Special Categories of Data
Employee Files (Includes signed contracts, PDRs and all communications with employees. A summary of employment history is retained permanently)	P	Recommended retention based on time limit within which legal proceedings must commence under Limitation Act 1980	Business need/legal requirement	6 years after employment ceases	Destroy	Yes – Personal Data and Special Categories of Data

Staff contracts	E & P	Recommended retention based on time limit within which legal proceedings must commence under Limitation Act 1980	Business need/legal requirement	6 years after employment ceases	Destroy	Yes – Personal Data
Attendance records	E	For the purposes of attendance management	Business need	7	Destroy	Yes – Personal Data
Maternity/Paternity/Parental Leave	E	Consistency with other HR records – guidance advises 5 years from birth/adoption of child. Need to retain for 18 years if relates to a child who receives a disability allowance	Business Need	6 years after employment ceases	Destroy	Yes – Personal Data
Performance Development Reviews	E & P	Recommended retention based on time limit within which legal proceedings must commence under Limitation Act 1980	Business need/legal requirement	6 years after employment ceases	Destroy	Yes – Personal Data
Performance Development Reviews – guidance and evaluation	E	For the purposes of performance and contract management	Business need	6 years after employment ceases	Destroy	Yes – Personal Data
Leavers (includes redundancy and retirement)	E	Recommended retention based on time limit within which legal proceedings must commence under Limitation Act 1980	Business need/legal requirement	6 years after employment ceases	Destroy	Yes – Personal Data
Occupational Health – administration	E	These do not contain medical records of individuals	Business need	6 years after employment ceases	Destroy	Yes – Personal Data and Special Categories of Data
Probation Periods	E	Recommended retention based on time limit within which legal proceedings must commence under Limitation Act 1980	Business need/legal requirement	6 years after employment ceases	Destroy	Yes – Personal Data
Employee References	E	Recommended retention based on time limit within which legal proceedings must commence under Limitation Act 1980	Business need/legal requirement	6 years after employment ceases	Destroy	Yes – Personal Data

Absence Management	E	Recommended retention based on time limit within which legal proceedings must commence under Limitation Act 1980	Business need/legal requirement	6 years after employment ceases	Destroy	Yes – Personal Data and Special Categories of Data
Employee issues (grievance, disciplinary, redundancy, performance management)	E	Retention dependent on issue, specific outcome and relevant sanctions	Business need	Case by case basis (Annual review by HR)	Destroy	Yes – Personal Data and Special Categories of Data
Learning Development						
Staff training courses (includes course material, evaluation, attendance lists)	E	In case of future litigation purposes	Business need	6	Destroy	Yes – Personal Data
Pensions						
Pension Scheme NMC Internal Administration	E	Record keeping purposes	Business need	80	Destroy	Yes – Personal Data
Staff						
Duplicate staff information held by departments (e.g. copies of draft and final appraisals, staff training, performance management and staff issues)	E	For the purposes of local employment management	Reference	2	Destroy	Yes – Personal Data and Special Categories of Data
Annual leave (duplicate department held records)	E	For the purposes of local employment management	Reference	2	Destroy	Yes – Personal Data
Staff inductions (department held records)	E & P	Evidence of training and development for fulfilment of a contract	Business need	6 years post-employment	Destroy	Yes – Personal Data
Internal Communications						
Insider Articles and Staff Announcements	E	Insider contains information that staff find useful to refer back to, e.g. Guidance about appraisals, information about events, etc. The way the intranet is currently structured means that this is the	Business need	1	Destroy	Yes – Personal Data

		only source of that information.				
Contact Email List	E	Data is used for internal communications. Segmented lists are used to ensure that staff receive communications that are relevant to them, e.g. Managers' briefing, targeted email for staff affected by office moves. Also used for analytics, e.g. what percentage of staff open internal comms emails.	Business need	1 Week	Destroy	Yes – Personal Data

Resources Directorate

Record Type / Description	Record Format	Rationale for Retention	Type of Retention	Retention Period - Years	Disposal	This Record Contains Personal Data and/or Special Categories of Data (Please Identify if Yes)
Finance						
Income Management						
Invoices	E & P	To meet requirements of Limitation Act 1980 and other legislation	Business need	7	Destroy	Yes – Personal Data
Payroll Processing						
Payroll processing staff	E	To meet requirements of Limitation Act 1980 and other legislation	Business need	7	Destroy	Yes – Personal Data
Payroll processing members	E	To meet requirements of Limitation Act 1980 and other legislation	Business need	7	Destroy	Yes – Personal Data
Insurance						
Insurance claim documents and correspondence (if such claims are received)	E	Legal requirement as per HMRC and Charities Commission guidance	Business need	7	Destroy	Yes – Personal Data and Special Categories of Data
Procurement and Contract Management						
Unsuccessful tenders	E	Limitation Act 1980	Business need	1 after date of last contact	Destroy	Yes – Personal Data
Successful tenders	E	Limitation Act 1980	Business need	6 after expiry of contract	Destroy	Yes – Personal Data
Consultants agreements	E	Limitation Act 1980	Business need	6 after expiry of contract	Destroy	Yes – Personal Data
Supplier agreements	E	Limitation Act 1980	Business need	6 after expiry of	Destroy	Yes – Personal Data

				contract		
Supplier Quotations	E	Limitation Act 1980	Business need	2	Destroy	Yes – Personal Data
Purchase Orders	E	Limitation Act 1980	Business need	7	Destroy	Yes – Personal Data
Arranging travel and accommodation	E		Business need	2	Destroy	Yes – Personal Data
Departmental Budgeting and Business Planning						
Copies of invoices or purchase orders	E & P	Legal requirement as per HMRC and Charities Commission guidance	Business need	7	Destroy	Yes – Personal Data (Panel Members)
Estates						
Business Continuity Planning						
Development of Business Continuity Plans	E	To ensure staff and assets are protected and able to function in the event of a serious incident or event.	Business need	3	Review for retention in NMC Archive	Yes – Personal Data
Final Business Continuity Plans	E	To ensure staff and assets are protected and able to function in the event of a serious incident or event.	Business need	Until Superseded + 3	Review for retention in NMC Archive	Yes – Personal Data
Building Security						
Records of ID passes	E	For the safety & security of staff, visitors and premises	Business need	Until superseded or individual leaves	Destroy	Yes – Personal Data
CCTV Video	E	For the safety & security of staff, visitors and premises. Deletion of CCTV images will be carried out in a secure manner by means of an automatic process which deletes image files that are over 15 days old.	Business need	15 Days	Destroy	Yes – Personal Data
CCTV viewing/access log	E	For the safety & security of staff, visitors and premises	Business need	2	Destroy	Yes – Personal Data

Health and Safety						
Accident book	E (Accident regulations allow paper or electronic records)	Limitation Act 1980/ The Health and Safety at Work Act 1974 and associated regulations	Business need	5 (from date of last entry or for stand alone reports after date of incident)	Destroy	Yes – Personal Data and Special Categories of Data
Records of any reportable injury, disease or dangerous occurrence	E & P	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR)	Business need	5 (from date of entry for each reportable incident)	Destroy	Yes – Personal Data and Special Categories of Data
Risk assessments	E	Management of Health and Safety at Work (MHSW) Regulations 1999	Business need	5 Undertaken as part of CBT HR system new starter training.	Destroy	Yes – Personal Data
Fire Safety – (evacuation procedures, fire drills, fire wardens roles, responsibilities and training)	E	The Regulatory Reform (Fire Safety) Order 2005	Business need	3	Review for retention in NMC Archive	Yes – Personal Data
First aid (administrative information about first aiders)	E	Management of Health and Safety at Work (MHSW) Regulations 1999	Business need	3	Review for retention in NMC Archive	Yes – Personal Data and Special Categories of Data
Internal Audit						
Audit						
Internal audits (various papers relating to the audits- e.g. briefings, draft reports)	E	Full papers of audit would be retained by supplier	Business need	3	Destroy	Yes – Personal Data
Internal audits final reports	E	Corporate memory	Evidential and corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data

Record Type / Description	Record Format	Rationale for Retention	Type of Retention	Retention Period – Years	Disposal	This Record Contains Personal Data and/or Special Categories of Data (Please Identify if Yes)
Technical Business Services						
Information Security						
Incidents	E	To provide evidence of incident investigations and lessons learned. To respond to queries from the ICO or data subjects. To provide incident trend data for at least 5 years.	Evidence / Business Need	7	Destroy	Yes – Personal Data and Special Categories of Data
ICO Correspondence	E	To retain a record of correspondence with the ICO and NMC on information security matters	Legislative/ Evidence/ Business Need	7	Destroy	Yes – Personal Data and Special Categories of Data
Services						
Footprints	E	Manage incidents and service requests,	Business Need	Whilst application is active	Destroy	Yes – Personal Data and Special Categories of Data
Technical Business Services						
Back-ups						
Emails sent from and received into the NMC and held in the email archive	E	This covers period within which legal proceedings must commence under Limitation Act 1980 for financial and other matters as well as the standard recommended retention periods of 2-7 years for most NMC records. Some FtP case records do not fit within this retention but emails related to cases are saved in the case files.	Business need	7	Destroy	Yes – Personal Data and Special Categories of Data

Emails of former Employees	E	Outlook accounts of former employees are maintained for up to 30 days from their leaving date before they are deleted.	Business need	30 Days	Destroy	Yes – Personal Data and Special Categories of Data
Back-up tapes of all IT services	E	Contains Personal Identifiable Data (PID) and must be retained based on NMC data retention policies. The backup tapes are for data backups prior to Advanced365 so they are a minimum of 7.5 years old already and unlikely to be recoverable too due to them being tapes and the agents required to recover it were removed from the servers to remedy a penetration test security flaw.	Business need	Until superseded + 1 Year	Destroy	Yes – Personal Data and Special Categories of Data
Advanced365 Evault Backup Data	E	To ensure backup files are available to restore from where required. This would most be likely needed following a data loss or corruption. Contains Personal Identifiable Data (PID) and must be retained based on NMC data retention policies.	Business need	OCSL Full GFS rotation which is made up of the following: <ul style="list-style-type: none"> • 1 synthetic full and 6 incremental backups all of which are stored at the primary datacentre located in Huntingdon. • 1 synthetic full and 30 incremental backups which are stored at our secondary datacentre located in Northampton. 	Destroy	Yes – Personal Data and Special Categories of Data

				<ul style="list-style-type: none"> • 12 synthetic full backups which are completed on the last day of each month and held at our 3rd location in St Ives. The full backup taken on 31st December will be retained as the yearly backup and stored for 7 years. 		
Test Area Records	E	Copies of Live Records stored within testing environments. TRIM, CMS, etc. May contain any information from all areas of the business.	Business need	Until superseded	Destroy	Yes – Personal Data and Special Categories of Data
Project Management Office						
Programme and project management – Note: Generic documents common to all projects will contain some standard documents and documents which are specific to the project. Retention periods for projects will vary. It is recommended that management of project records is a core part of each project with a member of the project team nominated to manage the records. Part of the formal closure of each project should include ensuring that all the records are filed to the correct folder and agreeing the retention. Projects establishing policy should be retained permanently.						
Project files (closed and current projects) relating to establishing policy (such as third part of the register, overseas nursing programme)	E	Evidence of any changes/ amendments to corporate policies	Evidence/ Corporate Memory	Permanent	Retain in NMC Archive	Yes – Personal Data and Special Categories of Data (Dependent on Project)
Programmes files (closed and current programmes) relating to establishing policy (such as third part of the register, overseas nursing programme)	E	N.B. Given the variable nature of projects and programmes a discussion should be held with the Information & Records Management department, as part of the setup of a project or programme, to agree an appropriate Retention	Evidence/ Corporate Memory	Permanent	Retain in NMC Archive	Yes – Personal Data and Special Categories of Data (Dependent on Programme)

		Schedule.				
Project files of NMC closed projects	E	Recommend minimum retention of 7 years or on decommissioning of software if IT application project	Business need	Permanent	Destroy	Yes – Personal Data and Special Categories of Data (Dependent on Project)
Lessons learned reports	E	Needed for continuous improvement of the NMC project/programme/portfolio management as part of the Corp PMO Quality Management Framework	Evidence/ Corporate Memory	Permanent	Retain in NMC Archive	Yes – Personal Data
Project & Programme closure reports	E	Formal evidence of the closure of a project/programme	Evidence/ Corporate Memory	Permanent	Retain in NMC Archive	Yes – Personal Data
Programme files of NMC closed programmes	E	Reference	Business need	Permanent	Destroy	Yes – Personal Data and Special Categories of Data (Dependent on Programme)
Key project documents (including Workstreams within Programme folder); Business case, PID, Benefits plan, PIA, TDA Design Documentation Checklist, CARDDIAC log	E	Reference	Corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data and Special Categories of Data (Dependent on Project)
Key programme documents; Programme mandate, Programme Definition Document, Business case, Benefits plan, Programme Brief, CARDDIAC log	E	Reference	Corporate memory	Permanent	Retain in NMC Archive	Yes – Personal Data and Special Categories of Data (Dependent on Programme)
Transformation Programmes	E	Given the scale, complexity and NMC wide impact of a Transformation Programmes	Corporate memory / lessons learned	Permanent	Retain in NMC Archive	Yes – Personal Data

Information & Records Management						
Freedom of Information Act and Data Protection Act						
Data Protection/Subject Access correspondence and disclosure - relating to specific individuals. These often also relate to FTP information.	E	Covers reasonable period for complaints to ICO to be made.	Business Need	2 years from last correspondence	Destroy Summary of transaction retained in NMC Archive	Yes – Personal Data and Special Categories of Data
FOI requests and responses + related documents and correspondence	E	Covers reasonable period for requests for internal review.	Business Need	2 years from last correspondence	Destroy Summary of transaction retained in NMC Archive	Yes – Personal Data and Special Categories of Data
FOI and DPA requests logs	E	Retained - summary record of transactions and a schedule of documents disclosed.	Business Need	10	Destroy	Yes – Personal Data and Special Categories of Data
Cases that are referred to a Tribunal - Requests, related correspondence, legal advice received and the outcome decision.	E	Provides evidence of historical cases.	Business Need	Permanent	Retain in NMC Archive	Yes – Personal Data and Special Categories of Data
Data Breaches – Security breach incident forms, logs and supporting documentation	E	SAR purposes. If could retain policies for the purposes of a breach investigation (to show what policies/procedures we have in place).	Business Need	10	Destroy	Yes – Depending on the nature of the breach records could contain Personal Data and Special Categories of Data
Information Management Reporting	E	Evidence of KPIs and historical requests for learning purposes.	Business Need	3	Destroy	Yes – Personal Data and Special Categories of Data
FOI/DP Logging spreadsheets	E	Evidence of KPIs and historical requests for learning purposes.	Business need	3	Destroy	Yes – Personal Data and Special Categories of Data
ICO Correspondence	E	To enable NMC provide evidence of investigation, reporting and recommendations.	Legislative/ Evidence/ Business Need	7	Destroy	Yes – Personal Data and Special Categories of Data

Disclosure Barring Service (DBS) and Disclosure Scotland (DS) Requests						
DBS and DS Correspondence: Requests that have related FtP cases	E	This correspondence is saved with the FtP case material it relates to and follows the same retention periods.	Business Need	See Fitness to Practise – Case Management	Destroy	Yes – Personal Data and Special Categories of Data
DBS and DS Correspondence: Requests that do not relate to FtP cases	E	Retained for a reasonable period to allow for follow up queries from Nurses or Midwives. Period is in line with other correspondence types across the Organisation.	Business Need	3 years from last correspondence	Destroy	Yes – Personal Data and Special Categories of Data
DBS and DS Request Letters	P	All DBS and DS requests are received in hard copy, these are scanned to TRIM.	Business Need	1 Month	Destroy	Yes – Personal Data and Special Categories of Data
DBS/DS Logging spreadsheets	E	Evidence of KPIs and historical requests for learning purposes.	Business need	3	Destroy	Yes – Personal Data and Special Categories of Data
Business Architecture						
Business Intelligence						
Data Warehouse	E	Operational Data Store	Business Need	Permanent	Retain in NMC Archive	Yes
Sent reports	E	Auditable history of data requests completed	Audit	5	Destroy	Yes
Data & Information						
Sent reports	E	Auditable history of data requests completed	Audit	5	Destroy	Yes