



# Retention and Disposal Schedule 2019-20

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## Introduction

CQC keeps records to meet current and future business needs and comply with statutory, legal and corporate governance practice requirements. By maintaining a retention and disposal schedule we can ensure that the management of records is documented, understood and implemented.

The Retention and Disposal Schedule is a list of the business records held by CQC, including examples, and the period at which each type of record will be reviewed for destruction. It should be noted that the Schedule focuses on managing content and not the format in which the record is held, for example, how long we keep an email will be dictated by its content rather than the fact it is an email. The Schedule is divided into 19 series', plus a list of records that are common to all areas. The Schedule is reviewed annually as part of CQC's information asset review.

Under the General Data Protection Regulation (GDPR) we must keep records of our processing of personal data and special category personal data. The Schedule forms part of these records.

### Using the Retention and Disposal Schedule

The Retention and Disposal Schedule contains ten pieces of information about each record type:

**Records series-** identifies the business function that the records relate to.

**Number-** is the unique identifier for the record or group of records held.

**Title-** summaries the name of the record or group of records.

**Examples-** provides an indicator of the types of records included, where applicable (although it is not an exhaustive list)

**Retention** is the period of time at which the records will be reviewed and either be destroyed or the retention period extended. An extension to the normal retention period may be required when enforcement, an Inquiry or other relevant activity is in progress. Where an Inquiry (including public Inquiries) is taking place CQC may be required to suspend the destruction of some or all of the records held.

**Confidential Personal Information** - this identifies whether the records were "obtained by the Commission on terms or in circumstances requiring it to be held in confidence".

and that "relates to and identifies an individual". As defined in the Health and Social Care Act 2008

The following information relates to the requirements of the General Data Protection Regulation (GDPR).

Full details of the requirements under the Regulations can be found at:

[the Information Commissioner's website](#)

**Personal data** identifies whether the records include information that can identify a living individual.

Examples of Personal Data: Names, addresses, personal emails, bank details, contact information, personnel files

**Legal basis for processing personal data** identifies the purposes for which CQC collects, holds, uses and stores personal information

**Special category personal data** - identifies whether the records include specific types of information,

Examples include racial or ethnic origin, political opinions, religious beliefs, trade union membership, sexual and criminal offences.

**Legal basis for processing special category personal data** identifies the purposes for which CQC collects, holds, uses and stores special personal information

### Glossary of terms

ASC - Adult Social Care

CEO - Chief Executive Officer

CRM - Customer Relationship Management (System)

EDHR - Equality, Diversity & Human Rights

ExE- Expert by Experience

IRMER - Ionising Radiation Medical Exposure Regulations

KLOE - Key Line of Enquiry

MHA - Mental Health Act

PMS - Primary Medical Services

SOAD- Second Opinion Appointed Doctor

SpA - Specialist Advisor

Contents	
Record series	Coverage and examples
Common records	Assets common to all directorates Minutes, policy, expenses etc.
001. Employee records, relations and management	Employee data, including sickness absence, training records, DBS checks, disciplinary proceedings, personal performance monitoring, medical and workplace records, recruitment processes, Pay roll, Negotiations with Unions, staff surveys, briefings, newsletters, etc.
002. Financial	Budget setting and monitoring, monthly reports to committees, invoices, bank statements, payroll, pensions etc.
003. Procurement	Tendering, contracting and purchasing etc.
004. Land & property maintenance	PAT testing, building maintenance, H&S risk assessments, waste management etc.
005. Organisational management	Business plans, strategies, performance monitoring (ex employee), Business continuity plans, MOUs, Projects, risk management, Internal Audit etc.
006. Governance	Private office correspondence, MP questions, Statutory Committee meetings, secretariat, complaints, etc.
007. Customer contact	Recordings of telephone conversations at NCSC, general enquiries, incoming scanned mail, stats, etc.
008. Publications and engagement	Press releases, public consultation, stakeholder communications, etc.
009. ICT records	Systems documentation, etc.
010. Data and Intelligence reporting	Intelligent monitoring reports, Data used to create intelligence reports, HES, Outlier information, notifications, PVH data, etc.
011. Information Management	RDM helpdesk, retention schedule, Information Governance and Information Security, etc.
012. Legal	Legal files and advice
013. Corporate Provider & Market oversight	Monitoring and financial details of specific ASC providers, etc.
014. Registration records	Register of providers and supporting documents, etc.
015. Inspection records	Information gathered and written during an inspection to inform a judgement (ex final public report), Inspector and ExE notes, evidence gathered from providers, etc.
016. Policy and Strategy	Provider handbooks, Inspection guidance, KLOEs, etc.
017. Enforcement	Notices, Management review meetings, etc.
018. Healthwatch England	Assets unique to HWE-see website
019. National Guardian's Office	Assets unique to NGO- for other assets, e.g. employee, finance see relevant series.

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
Common retention	C.1	Staff contact details	People finder, Database of staff name, office address and photograph	Whilst employed by CQC	None identified	Yes	Contract (employment) or Consent	No	Not applicable
Common retention	C.2	Staffing structures	Organisation charts	Whilst relevant	None identified	Yes where names included	Contract (employment)	No	Not applicable
Common retention	C.3	Internal performance monitoring	Management information, measurements scorecard	See 5.07					
Common retention	C.4	Team meetings	Minutes, agendas	2 years	None identified	Yes	Contract (employment)	No	Not applicable
Common retention	C.5	Team strategy	Final	Retain permanently	None identified	No	Not applicable	No	Not applicable
Common retention	C.6	Draft team strategy	Draft, or development	Retain to inform next cycle of activity	None identified	No	Not applicable	No	Not applicable
Common retention	C.7	Blank- no asset assigned							
Common retention	C.8	Policy	Internal policy	Retain permanently	None identified	No	Not applicable	No	Not applicable
Common retention	C.9	External meetings	Agendas, minutes, papers, plan	2 years	None identified	Yes	Official Authority	Not routinely	Not applicable
Common retention	C.10	Staff Performance Management	Staff performance management information and annual personal development reviews and reports, including 1:1s	See 1.11					
Common retention	C.11	Staff annual leave	Annual leave requests, which are locally managed	See 1.3 and 1.5					
Common retention	C.12	Internal Query log	Internal team queries and responses provided to CQC staff	3 years	None identified	Yes	Public interest task	No	Not applicable
Common retention	C.13	External Query log	External team queries and responses provided e.g. to member of public, providers etc.. - see 10.21, and 11.13	See 10.21 and 11.13					
Common retention	C.14	Directorate, team away days-internal	Internal Minutes, Internal presentation	Retain whilst useful	None identified	Yes	Contract (employment)	No	Not applicable
Common retention	C.15	Expenses	Receipts, expense claim forms	See 2.23 and 2.38					
Common retention	C.16	Notes and or recordings taken at meetings	Notes and or recordings taken at meetings that will be used to create an official record	Destroy once official electronic (Usually Word) version is agreed	Yes (in some cases)	Yes	Various - depends on purpose of meeting	Yes depending on content	Various - depends on purpose of meeting
Common retention	C.17	Internal Guidance	Process and guidance to support policy, inc audio and video	1 year after superseded	None identified	No	Not applicable	No	Not applicable

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
Common retention	C.18	Questionnaires	Non statutory surveys and feedback, e.g. Internal survey	Destroy once analysis is complete	Yes (in some cases)	Yes	Consent	No	Not applicable
Common retention	C.19	Questionnaires analysis	Non statutory surveys and feedback, e.g. Internal survey	Retain until report completed	None identified	No	Not applicable	No	Not applicable
Common retention	C.20	Standard operating procedures	including process maps	Retain permanently (all versions)	None identified	No	Not applicable	No	Not applicable
Common retention	C.21	Internal audit reports and working papers	e.g. PWC & health group internal audit. Final internally published reports. Quality assurance processes.	5 years	None identified	No	Not applicable	No	Not applicable
Common retention	C.22	Administrative records relating to Inquiries or Investigations, eg Public Inquiries	Correspondence with Inquiry panel, administrative records.	5 years after publication of the final report	None identified	Yes	Legal obligation	No	Not applicable
Common retention	C.23	Records shared as part of an Inquiry or Investigation, eg Public Inquiries	Existing records, located as part of searches instigated by Inquiry Team	As advised by the Inquiry panel/Sponsoring department	Yes	Yes	Legal obligation	Yes	Substantial public interest
001. Employee records, relations and management	1.1	Staff absence records	Absence Fit note, Sickness and Maternity absence, Special leave, Unpaid leave, Disability Information etc	Retain whilst employed plus 7 years	Yes	Yes	Legal Obligation	Yes	Employment Rights
001. Employee records, relations and management	1.2	Medical/Self certificates	Medical/Self Certificates – unrelated to industrial injury	4 years	Yes	Yes	Legal Obligation	Yes	Employment Rights
001. Employee records, relations and management	1.3	Staff annual leave	Annual leave requests are locally managed. For contracted annual leave allowance- see Asset 1.5	2 years after action completed	None identified	Yes	Legal Obligation	Not applicable	Not applicable
001. Employee records, relations and management	1.4	Disclosure and Barring service checks (DBS)	Results include the terms clear or show if there is information held. ID used not contact name	Retain whilst employed plus 7 years	Yes	Yes	Official Authority	Yes	Employment Rights
001. Employee records, relations and management	1.5	Employment/Employee file/ P file	Recruitment records (successful candidate, incl SpA's) Application forms, interview notes, references, ID evidence, Termination of employment Resignation, redundancy (s.188) dismissal, death, retirement. DBS Risk assessment, Contract variations, clarifications and changes to contracts, accident/near miss/incident reports/Stress Risk assessment/ enabling plans/reasonable adjustments	Retain whilst employed plus 7 years	Yes	Yes	Legal Obligation	Yes	Employment Rights

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
001. Employee records, relations and management	1.6	Disciplinary Records	Disciplinary records, letters, evidence, capability, first and final warning	2 years after warning expires	Yes	Yes	Legal Obligation	Yes	Employment Rights
001. Employee records, relations and management	1.7	Disclosure/conflict of interest forms	Disclosure/conflict of Interest repeated annually and quarterly for Operations.	2 years	Yes	Yes	Official Authority/ Public Interest Task	Yes	Employment Rights
001. Employee records, relations and management	1.8	Pension estimates	Requests from employees & other departments and the information provided	1 year	Yes	Yes	Legal Obligation	Yes	Employment Rights
001. Employee records, relations and management	1.9	Pension scheme financial transactions (Local Government Pension Scheme only)	Paperwork required to inform non-NHS pension providers of pension details	7 years	Yes	Yes	Legal Obligation	Yes	Employment Rights
001. Employee records, relations and management	1.10	ESR - Electronic Staff Record. - Oracle* just data stats for reporting	NI Number, next of Kin, address , phone numbers, diversity data, age, ethnicity, gender, sexual orientation, name	Retain permanently	Yes	Yes	Legal Obligation	Yes	Employment Rights
001. Employee records, relations and management	1.11	Staff Performance Management	Staff performance management information and annual personal development reviews and reports, including 1:1, 360 degree feedback reports	Retain whilst employed + 2 years	Yes	Yes	Contract (employment)	Yes	Employment Rights & Assessment of working capacity
001. Employee records, relations and management	1.12	Staff training and development ED.	All Training courses attended, including those arranged independently (not by Academy)	Retain whilst employed + 2 years	Yes	Yes	Contract (employment)	No	Not applicable
001. Employee records, relations and management	1.13	Individual business case for attending training & meetings to agree/reject	Spreadsheet and logging decision	Retain for length of training plus + 1 year	Yes	Yes	Contract (employment)	No	Not applicable
001. Employee records, relations and management	1.14	Training course content	Content and material	After course is superseded	None identified	Yes	Contract (employment)	Yes	Employment Rights
001. Employee records, relations and management	1.15	Event planning	Organisation and planning of the leadership team, groups events and training e.g. values month. Includes planning documents, budget, quotes, information, controls and attendance	3 years after event	None identified	Yes	Public interest task	No	Not applicable



Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
001. Employee records, relations and management	1.16	Employee Recognition awards.	Employee/team recognition awards nominations/applications, and award details, management of this and decisions made. Awards are kept restricted until the recipient is announced	Duration of scheme plus 2 years	None identified	Yes where it identifies a member of staff	Public Interest Task	Yes where it identifies a member of staff	Employment Rights
001. Employee records, relations and management	1.17	Employee Recognition awards, statistics	Statistics regarding number of awards given etc. No personal detail included	Retain permanently	None identified	Yes where it identifies a member of staff	Public Interest Task	Yes where it identifies a member of staff	Employment Rights
001. Employee records, relations and management	1.18	Surveys - staff.	External company run the survey. Data tables provided to us, which is anonymised Employee feedback data sets and scorecards.	Retain permanently	Yes Anonymised	Yes	Legal Obligation/ Public Interest Task	Yes	Employment Rights
001. Employee records, relations and management	1.19	Health & safety accident reporting	MOVED to 004 land & property						
001. Employee records, relations and management	1.20	Stress risk assessment, enabling plans & reasonable adjustments	MOVED to 004 land & property						
001. Employee records, relations and management	1.21	Work station/driving at work training and risk assessments	MOVED to 004 land & property						
001. Employee records, relations and management	1.22	Specialist advisors SPAs, BIs	Please see 1.5 for details						
001. Employee records, relations and management	1.23	Payroll data reports on monthly basis	Payroll - PAYE/ salary info, NI number, pension, pay each month	7 years after action completed.	Yes	Yes	Legal Obligation	Yes,	Employment Rights
001. Employee records, relations and management	1.24	All Recruitment records	Applications, assessment & feedback	2 years after recruitment finalised	Yes	Yes	Legal Obligation	Yes	Employment Rights
001. Employee records, relations and management	1.25	Recruitment process	Adverts	2 years after recruitment finalised	None identified	No	Not applicable	No	Not applicable
001. Employee records, relations and management	1.26	Industrial relations- major	Agreements, awards, negotiations & disputes	Retain permanently	None identified	Yes	Contract	Yes	Employment Rights
001. Employee records, relations and management	1.27	Industrial relations- minor	Routine and daily industrial relations management, Regular Committee meeting, minutes, agendas & actions	2 years after administrative use is concluded	None identified	No	Not applicable	No	Not applicable
001. Employee records, relations and management	1.28	Diversity reports	Anonymised reporting on staff diversity MI	Retain permanently	Yes anonymised	No	Not applicable	No	Not applicable
001. Employee records, relations and management	1.29	Warrant cards	Inspector joiners, role change and leavers process	Destroyed at end of role as Inspector	None identified	Yes	Official Authority	No	Not applicable

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
001. Employee records, relations and management	1.30	Pension guidance provided by external pension providers	Procedures relating to relevant provider and legislation	Retain permanently	None identified	No	Not applicable	No	Not applicable
001. Employee records, relations and management	1.31	PAM Assist Occupational Health	Staff Occupational Health Reports	7 years	Yes	Yes	Legal Obligation	Yes	Working Capacity
002. Financial records	2.1	Payroll	Payroll data - Finance reporting. SBS are master record holder, can retrieve detail from them if needed. Finance record contains name, payroll number, and salary only, no bank details	7 years for original documentation, 2 years for copy for analysis	Yes	Yes where it relates to salary information	Legal Obligation	No	Not applicable
002. Financial records	2.2	Budget	Budget data - Monthly budgets, forecasts, estimates and plans. Data for setting the budgets - Finance. Monthly forecasts on budgets -Finance, and others may keep for reference. Data in SBS.	3 years from finance year end	Yes	Yes where it relates to salary information	Legal Obligation	No	Not applicable
002. Financial records	2.3	Budget	Budget data - Negotiating on budgets- DELETED - covered elsewhere (2.2)						
002. Financial records	2.4	Tax	Value Added Tax (VAT) Returns - VAT records and returns	7 years	No	No	Not applicable	No	Not applicable
002. Financial records	2.5	Bank	Bank statements	7 years	No	No	Not applicable	No	Not applicable
002. Financial records	2.6	Bank	Company credit card transactions - Payment, statements and receipts	7 years	No	No	Not applicable	No	Not applicable
002. Financial records	2.7	Accounts	Financial accounts -Working papers for the production of the financial accounts. Monthly financial accounts	7 years	Yes	Salary details	Legal Obligation	No	Not applicable
002. Financial records	2.8	Accounts	Financial external audit - External Audit reports accounts/procedures	7 years	Yes	Salary details	Legal Obligation	No	Not applicable
002. Financial records	2.9	Accounts	Financial reports - Working papers for the production of the reports to ET, EB and budget holders	7 years	Yes	Salary details	Legal Obligation	No	Not applicable
002. Financial records	2.10	Accounts	Annual accounts - Final - one set only	7 years	Yes	Disclosure notes on remuneration and pensions for Board and ET	Legal obligation	No	Not applicable
002. Financial records	2.11	Cash Books	Accounts minor - Pass books, paying in slips, cheques, counterfoils, cancelled/discharged cheques, travelling	2 years from completion of audit	No	No	Not applicable	No	Not applicable
002. Financial records	2.12	Expenditure	Bills receipts and cleared cheques	7 years from financial year end	No	No	Not applicable	No	Not applicable
002. Financial records	2.13	Fixed Assets	Asset Register and Related Workings	7 years from financial year end	No	No	Not applicable	No	Not applicable
002. Financial records	2.14	Cash Books	Petty cash returns and supporting vouchers - accounts of petty cash expenditure, obsolete details	2 years from end of financial year	No	No	Not applicable	No	Not applicable



Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
002. Financial records	2.15	Cash Books	Cash books and sheets	7 years	Yes	Salary details	Legal Obligation	No	Not applicable
002. Financial records	2.16	Expenditure	Creditor payments	7 years following end of year to which they relate	No	No	Not applicable	No	Not applicable
002. Financial records	2.17	Supplier	New supplier form, supplier bank details	2 years	Yes	Yes	Contract	No	Not applicable
002. Financial records	2.18	Debtors' records	Debtors' records	7 years from financial year end but maintained until cleared	Yes	Yes	Official Authority	No	Not applicable
002. Financial records	2.19	Tax	Tax forms	7 years. Retained records for which rationale in business terms provided destroy at 15 years.	Yes	Yes	Legal obligation	No	Not applicable
002. Financial records	2.20	Expenditure	Cost control ledger analysis	7 years	No	No	Not applicable	No	Not applicable
002. Financial records	2.21	Expenditure	Invoices - Capital, revenue, rate and rent invoices and supporting estimates	7 years	No	No	Not applicable	No	Not applicable
002. Financial records	2.22	Expenditure	Estimates - including supporting calculations and statistics - DELETED -Covered elsewhere						
002. Financial records	2.23	Payroll	Expenses claims and scanned receipts (stored electronically)	3 years	Yes	Yes	Legal Obligation	No	Not applicable
002. Financial records	2.24	Income	Funding data	7 years	No	No	Not applicable	No	Not applicable
002. Financial records	2.25	Ledger	Ledgers	7 years	Yes	Salary details	Legal Obligation	No	Not applicable
002. Financial records	2.26	Audit	Audit reports -Management letters, Value for Money reports and system / final accounts memorandum	2 years after formal clearance by Statutory Auditor	No	No	Not applicable	No	Not applicable
002. Financial records	2.27	Audit	Audit records - Original documents	2 years after completion of the audit	No	No	Not applicable	No	Not applicable
002. Financial records	2.28	Ledger	General ledger Inc. Accounting Structure, Profit/Cost Centres, Budgets, Accounting Entries	7 years	Yes	Salary details	Legal Obligation	No	Not applicable
002. Financial records	2.29	Procurement	Purchase orders - Supporting documentation	2 years following completion of relate contract	No	No	Not applicable	No	Not applicable
002. Financial records	2.30	Bank	Company & procurement cards - Corporate card-signed statement, statements and audit logs, returned cards	2 years from end of financial year	No	No	Not applicable	No	Not applicable
002. Financial records	2.31	Ledger	Reconciliations -Ledger, Bank and expenses reconciliation	7 years	No	No	Not applicable	No	Not applicable
002. Financial records	2.32	Income	Provider fees payments and refunds	7 years	Yes	Yes	Legal obligation	No	Not applicable
002. Financial records	2.33	Supplier	DELETED Covered by Procurement 3.26						

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
002. Financial records	2.34	Supplier	Supplier payments - Vendor Transaction Records including Order details, payment history etc	7 years	Yes	Yes	Contract	No	Not applicable
002. Financial records	2.35	Project Records	Project records that pick up associated finances e.g. Finance records, Procurement contracts	7 years	No	No	Not applicable	No	Not applicable
002. Financial records	2.36	Payroll	SOAD Payments	7 years	Yes	Yes	Legal Obligation	No	Not applicable
002. Financial records	2.37	Costing	Costing information of CQC's regulatory activity	5 years	No	No	Not applicable	No	Not applicable
002. Financial records	2.38	Payroll	Hard copy expense receipts that have been scanned and stored in line with Travel & Expense policy (Dec 2016).	Retain hard copy until payment is received.	Yes	Salary and expenses paid details	Legal Obligation	No	Not applicable
003. Procurement	3.1	Signed contract Under Seal - 12 years from expiration of agreement		12 years from expiration of agreement	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.2	Signed contract - Standard - 6 years after date of expiration of contract		6 years after date of expiration of contract	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.3	Initial Proposal Expression of Interest - from date of award of contract		3 years from date of award of contract	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.4	Initial Proposal Draft Specification - from date of award of contract		3 years from date of award of contract	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.5	Initial Proposal Agreed Specification		6 years	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.6	Initial Proposal Evaluation Criteria - from date of award of contract		6 years from date of award of contract	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
003. Procurement	3.7	Initial Proposal Invitation to Tender		6 years	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.8	Tendering Unsuccessful tender documents - from date of award of contract		3 years from date of award of contract	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.9	Tendering Successful tender documents		6 years	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.10	Tendering Interview panel - report and notes of proceedings -- from date of award of contract		3 years from date of award of contract	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.11	Tendering Contract Award Letter - - from date of award of contract		3 years from date of award of contract	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.12	Tendering	Signed contract (hardcopy)	6 years from end of contract	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.13	Contract Operation and Monitoring (MI Information from contractors) from date of expiration of contract		6 years from date of expiration of contract	None identified	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.14	Contract Operation and Monitoring (Schedules of Works) from date of expiration of contract		6 years from date of expiration of contract	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.15	Contract Operation and Monitoring (Surveys and inspection equipment and supplies) from date of expiration of contract		6 years from date of last paper	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
003. Procurement	3.16	Second review Contract Operation and Monitoring (Surveys and inspection buildings) from date of expiration of contract		Second Review	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.17	Contract Operation and Monitoring (Records and Complaints) from date of expiration of contract		6 years from date of expiration of contract	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.18	Contract Operation and Monitoring (Disputes and Overpayment) from date of expiration of contract		6 years from date of expiration of contract	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.19	Contract Operation and Monitoring (Final Accounts) from date of expiration of contract		6 years from end of contract	None identified	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.20	Contract operation and monitoring		Second review	None identified	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.21	Amendments to Contracts (Changes to Requirements) after date of expiration of contract (note 12 years if a deed (executed under seal))		6 years or 12 if deed	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.22	Amendments to Contracts (Forms of Variation - CCNs, VEATS) after date of expiration of contract (note this will be 12 years if a deed)		6 years or 12 if deed	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.23	Amendments to Contracts (Extensions to contract) - from new expiry date of contract (note this will be 12 years if it is a deed)		6 years or 12 if deed	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.24	Approved supplier lists		11 years	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
003. Procurement	3.25	Process of agreeing terms between organisations. NB this does not include contractual agreements	Concordat	6 years after agreement expires or is terminated	None identified	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.26	Supplier	Supplier contact details - Vendor Details (Master data) including name, address, Bank account, contact names, VAT number ( moved from Finance 2.33)	Retain permanently	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
003. Procurement	3.27	Evaluation	In accordance with Regulation 84 (7)(8) and (9) Public Contracts Regulations 2015 - Procurement documents containing sufficient information to document and justify all decisions made in the process, including communications with suppliers, internal deliberations, preparation of procurement documents, dialogue/negotiation (if any), selection of supplier and award of contract - at least 3 years from the date of award of the contract	4 years	Yes	Yes where relating to individuals working for the suppliers	Contract	No	Not applicable
004. Land & property maintenance	4.1	Occupancy records	Seating & floor plans	Retain until superseded	None identified	No	Not applicable	No	Not applicable
004. Land & property maintenance	4.2	Asset inventory and status	Register of property and equipment owned, including reports, inventories, stocktaking, surveys of usage, acquisition & disposal reports and proposals	2 years after administrative use is concluded	None identified	No	Not applicable	No	Not applicable
004. Land & property maintenance	4.3	Plant, asset & equipment maintenance & Equipment inspection reports	Service records, plant files. e.g. boilers, lifts ex PAT testing	Lifetime of building, pass originals to new building owner. Keep copy for 3 years	None identified	No	Not applicable	No	Not applicable
004. Land & property maintenance	4.4	Building and engineering work	Surveys, site plans, bills of quantities, executed agreements, conditions of contract, specifications, 'as built' record drawings and documents on the appointment and conditions of engagement of private buildings and engineering consultants, Mechanical & electrical layout and drawings or Operation & Maintenance Manuals/CD's	Lifetime of building, pass originals to new building owner. Keep copy for 3 years	None identified	No	Not applicable	No	Not applicable
004. Land & property maintenance	4.5	Unsuccessful proposals for buildings and engineering work and related correspondence	Projects abandoned due to lack of funds/approval, e.g. soundproofing offices	Disposed of when closed	None identified	No	Not applicable	No	Not applicable
004. Land & property maintenance	4.6	Waste management	Delivery, recycling and consignment notes, sustainability, incl food waste records	1 year	None identified	No	Not applicable	No	Not applicable
004. Land & property maintenance	4.7	Deliveries	Delivery notes for goods received, recorded delivery mail	1 year following the end of the financial year they relate to	None identified	No	Not applicable	No	Not applicable



Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
004. Land & property maintenance	4.8	Risk assessments	Fire & general risk assessments, including COSHH and Buildings Health & Safety (not individual accident reporting)	Lifetime of building, pass originals to new building owner. Keep copy for 3 years	None identified	No	Not applicable	No	Not applicable
004. Land & property maintenance	4.9	Electrical Appliance Equipment testing	Electrical testing (PAT) & 5 year electrical testing	Lifetime of building, pass originals to new building owner. Keep copy for 3 years	None identified	No	Not applicable	No	Not applicable
004. Land & property maintenance	4.10	Property management reports	Annual building reports, summary of leases, site register, rent reviews, rating assessments & appeals, Leases and dilapidation reports	Lifetime of building	None identified	No	Not applicable	No	Not applicable
004. Land & property maintenance	4.11	Property acquisition management (financial lease or purchase)	Property acquisition management (financial lease or purchase), conveyancing files	Lifetime of property or building plus 12 years	None identified	No	Not applicable	No	Not applicable
004. Land & property maintenance	4.12	Property disposal managements (sale or write off)	Legal correspondence relating to the sale, particulars of sale, Board of survey	15 years after all obligations/entitlements concluded	None identified	No	Not applicable	No	Not applicable
004. Land & property maintenance	4.13	Property deeds	Leases, Moto's, Licences , License for alterations, wayleave, title deeds, etc	Lifetime of occupancy plus 1 year	None identified	No	Not applicable	No	Not applicable
004. Land & property maintenance	4.14	Asbestos testing - responsibility of building owner		<u>retain for 40 years from report date. HSE duty to manage asbestos</u>	None identified	No	Not applicable	No	Not applicable
004. Land & property maintenance	4.15	Business continuity and recover	Business Continuity /Emergency Plans - contact details. Name, out of hours contact telephone numbers.- see also C.1	Retain whilst employed	Yes	Yes	Public Interest Task	No	Not applicable
004. Land & property maintenance	4.16	Business continuity testing	Report on business continuity and recovery plan testing results	Retain permanently	None identified	No	Not applicable	No	Not applicable
004. Land & property	4.17	Health & Safety Accident Reporting	Staff accident, near miss and incident summaries. Reporting of injuries diseases and dangerous occurrences. Summary spreadsheet maintained for reporting and monitoring purposes. For the detail/reports please see Employee file asset 1.5	Retain for 7 years from date of accident/incident	Yes	Yes	Legal obligation	Yes	Employment rights of the CQC or an employee
004. Land & property maintenance	4.18	Stress risk assessment, enabling plans & reasonable adjustments	Stress risk assessment, enabling plans & reasonable adjustments summaries. Summary spreadsheet maintained for reporting and monitoring purposes. For the detail/reports please see Employee file asset 1.5	Retain whilst employed plus 7 years	Yes	Yes	Legal obligation	Yes	Employment rights of the CQC or an employee
004. Land & property maintenance	4.19	Work station/driving at work training and risk assessments	Individual training and risk assessments completed via the Work station/driving at work portal	Retain whilst employed plus 7 years	Yes	Yes	Legal obligation	Yes	Employment rights of the CQC or an employee
004. Land & property maintenance	4.20	Car Parking allocation	Records relating to vehicles allocated parking bays, including registration numbers and blue badge information	Retain for duration of allocated parking slot	Yes	Yes	Public interest task	Yes	Employment rights of employee

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004. Land & property maintenance	4.21	Inspector risk assessment	Inspector risk assessments for ASC to be updated as part of staff 1:1's	Retain assessment whilst employed plus 7 years	Yes should remain in master system, not Cygnum	Yes	Legal obligation	No	Not applicable
004. Land & property maintenance	4.22	Personal Safety Register	Personal Register including details of potential safety issues & Safety Warning Flag to warn of potential safety issues	Pre-determined retention period depending on level of risk and seriousness of incident	Yes	Yes	Legal Obligation	Yes	Employment rights of the CQC or an employee
005. Organisational management	5.1	Corporate plans	e.g. business plans	Retain permanently	None identified	Yes	Official Authority & Public interest task(Pay)	No	Not applicable
005. Organisational management	5.2	Directorate plans		Retain permanently	None identified	Yes	Official Authority	No	Not applicable
005. Organisational management	5.3	Corporate risk register	Strategic risk register and directorate risk registers	Retain as published (strategic) retain 2 years (directorate)	None identified	Yes	Official Authority	No	Not applicable
005. Organisational management	5.4	Data used to support creation of plans	Data used in or to support business and corporate plans all supporting documents	2 years after publication	None identified	Yes	Official Authority	No	Not applicable
005. Organisational management	5.5	Internal Audit reports	Moved to Common Assets series						
005. Organisational management	5.6	Internal Audit working papers	Moved to Common Assets series						
005. Organisational management	5.7	Internal quality assurance Internal performance monitoring and quality assurance	Management information, measurements scorecard, assurance frameworks (management assurance assessment) KPIs	2 years	None identified	Yes	Official Authority	No	Not applicable
005. Organisational management	5.8	Project - Outputs	Future decisions and knowledge, lessons learnt, functional designs, user requirements, user stories	2 years from completion of project ( is 5 years in Series 9 ICT)	None identified	Yes	Official Authority	No	Not applicable
005. Organisational management	5.9	Project records- delivery	Project initiation, feasibility studies, risks, project and communications plans resource, day to day activities	2 years from completion of project ( is 5 years in Series 9 ICT)	None identified	Yes	Official Authority	No	Not applicable
005. Organisational management	5.10	Project working papers- minutes, agendas, etc..	Draft reports and correspondence	2 years from completion of project	None identified	Yes	Official Authority	No	Not applicable
005. Organisational management	5.11	Provider risk register		2 years	None identified	Yes	Official Authority	Yes	Health or Social Care Treatment, Ensure higher standards of health care, establishment, exercise or defence of legal claims

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
005. Organisational management	5.12	Provider risk- monthly reports	Monthly risk meetings - take the live register & save for snapshot	2 years	None identified	Yes	Official Authority	Yes	Health or Social Care Treatment, Ensure higher standards of health care, establishment, exercise or defence of legal claims
005. Organisational management	5.13	Queries and responses to external/members of public	Statistics in spreadsheet CPI redacted- in line with Complaints team	5 years	None identified	Yes	Legal obligation	No	Not applicable
005. Organisational management	5.14	Inspector workload monitoring	Timesheets, activity recording, scheduling, date of Inspection, Resources (SPAs, EXEs, Bank Inspectors and CQC staff) allocated to inspections, absence, SPA feedback	5 years	Yes	Yes	Official Authority	No	Not applicable
006. Governance	6.1	Memorandum of Understanding (MOU)	Agreements with other organisations on working together	Retain permanently	None identified	Yes	Official authority	No	Not applicable
006. Governance	6.2	Transition	OET transition information - communication	2 years following creation of new organisation/restructure	None identified	No	Not applicable	No	Not applicable
006. Governance	6.3	Staff events & away days- internal	Internal Minutes, internal presentation	Retain. Whilst CEO and Chair in post + 1 year	None identified	Yes	Official authority	No	Not applicable
006. Governance	6.4	Briefings to the board	For meetings on issues, breaking news, informing in advance, and visits	Retain permanently	None identified	Yes	Official authority	No	Not applicable
006. Governance	6.5	Speeches and presentations at conferences	Notes and PowerPoint presentation, Conference organisation & speaking events. Invitations, briefings, external interviews and media coverage	Retain. Whilst CEO and Chair in post + 1 year	None identified	No	Not applicable	No	Not applicable
006. Governance	6.6	Chair & Executive letters /email		7 years	None identified	Yes	Official authority	No	Not applicable
006. Governance	6.7	PO correspondence database	Record/log of the correspondence	Retain permanently	None identified	Yes	Official authority	No	Not applicable
006. Governance	6.8	Annual archive of PO correspondence database	Archive of the record/log of the correspondence	8 years	None identified	Yes	Official authority	No	Not applicable
006. Governance	6.9	Administration for visits by Chair & CEO	Information relating to visits to services and organisation, schedule, agenda of meetings, arrangements	2 years	None identified	Yes	Official authority	No	Not applicable
006. Governance	6.10	Nominations for honours	Correspondence from DH, Citations, nominations	2 years	None identified	Yes	Public interest task	No	Not applicable
006. Governance	6.11	Contact details for Chair and CEO	Contact details for Chair and CEO	Retain permanently	None identified	Yes	Official authority	No	Not applicable
006. Governance	6.12	Healthwatch service level agreements and governance framework	Governance documentation	Life of Healthwatch	None identified	Yes	Official authority	No	Not applicable

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006. Governance	6.13	Committee and Authority submissions	Audit/private Board, governance structure, operating committee, regulation, audit and corporate governance, people and values, regulatory governance and safeguarding and committees that report to the executive team, minutes	Retain permanently	None identified	Yes	Official authority	No	Not applicable
006. Governance	6.14	Public Board papers		Retain permanently	None identified	Yes	Official authority	No	Not applicable
006. Governance	6.15	Executive team meetings	Agendas, minutes, papers, forward plan	Retain permanently	None identified	Yes	Official authority	No	Not applicable
006. Governance	6.16	Complaints related information	Corporate and Ombudsman cases, general correspondence, CEO and Chair	3 years after last activity	CPI	Yes	Official authority	No	Not applicable
006. Governance	6.17	Complaints final response	Review letters (summary of complaint and CQC's response) and details on access database and excel spreadsheet	Retain permanently	CPI	Yes	Official authority	Yes	Health Care Standards
006. Governance	6.18	Complaints statistics	Number of complaints	5 years	None identified	No	Not applicable	No	Not applicable
006. Governance	6.19	Complaints full case record	Full record following completion of investigation and issue to final review letter	5 years after last activity	CPI	Yes	Official authority	Yes	Health Care Standards
006. Governance	6.20	Queries	Responses to queries passed to the complaint team	3 years	CPI	Yes	Official authority	Yes	Health Care Standards
006. Governance	6.21	Final case report and supporting evidence	Final case report, correspondence, copies taken of Operations records as evidence	6 months after final outcome letter issued unless there is an appeal.	Depending on the case can contain CPI	Yes	Official authority	Yes	Health Care Standards
006. Governance	6.22	External reviewers report	External reviewers report, which is shared with provider. Signed off by Chief Inspector	6 months after final outcome letter issued unless there is an appeal.	None identified	Yes	Official authority	Yes	Health Care Standards
006. Governance	6.23	Submission and outcome	Submission from provider and our outcome letter	Master record to be stored by Ops & retained	None identified	Yes	Official authority	Yes	Health Care Standards
006. Governance	6.24	Feedback for lessons learnt (links to 6.23)	Feedback of any learning to relevant line manager and inspector following completion of rating review. Provided as and when appropriate	6 months after final outcome letter issued unless there is an appeal.	None identified	Yes	Official authority	Yes	Health Care Standards
006. Governance	6.25	Ratings review case log	Case log including date and outcomes for Ratings review, kept for statistics and reporting. Includes the provider/location details, but no personal or contact details	5 years	None identified	No	N/A	No	Not applicable
007. Customer Contact Support	7.1	Corporate Complaints	Moved- see series 6 incorporated into 6.16-6.20 assets						
007. Customer Contact Support	7.2	Corporate Complaints statistics	Moved- see series 6 incorporated into 6.16-6.20 assets						
007. Customer Contact Support	7.3	Request for Information	General enquiries from public and others. Requesting information, dealt with at first stage by NCSC, PIR	6 months	Depending on the enquiry can contain CPI	Yes	Official authority	No	Not applicable
007. Customer Contact Support	7.4	Hard copy scanned material (excluding registration and criminal evidence)	For registration see 7.5 and for Criminal evidence see Enforcement IAR	2 months to allow for quality assurance checks	Yes	Yes	Official authority	Yes	Ensuring high standard of health care



Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
007. Customer Contact Support	7.5	Hard copy scanned material- registration	Managing documents as received from public and others regarding registration information as dealt with at first stage by NCSC, PIR	3 months to allow for quality assurance checks	Yes	Yes	Official authority	No	Not applicable
007. Customer Contact Support	7.6	Information of concern - Photographs/ images	Comes in via NCSC and is scanned	1 week after scan	Yes	Yes	Official authority	Yes	Ensuring high standard of health care
007. Customer Contact Support	7.7	Information of concern - Complaint, safeguarding	DELETED - reference was to a tool rather than an asset						
007. Customer Contact Support	7.8	Performance information	Weekly, monthly, quarterly reporting for local and corporate management - common retention	2 years	None identified	No	Not applicable	No	Not applicable
007. Customer Contact Support	7.9	Dashboards	OBIEE reports - e.g., registration activity, numbers of notification and responses to assist in prioritisation	On going live data	None identified	No	Not applicable	No	Not applicable
007. Customer Contact Support	7.10	Quality and Performance management tools	Staff performance against quality standards and workload management	2 years	Yes	Yes	Contract	No	Not applicable
007. Customer Contact Support	7.11	Share your experience Information of concern	Service users, patients and public comments on services, optional inclusion of personal information	Store with related records for same time period	Yes	Yes	Official authority	Yes (dependant on subject matter raised)	Ensuring high standard of health care
007. Customer Contact/Support	7.12	Staffing trackers - another common tool used by teams.	DELETED - covered in Common assets C.11						
007. Customer Contact Support	7.13	Telephone recordings - going external	Audit trail, recorded as proof of conversation E.g. Complaint, or Enforcement	6 months	Yes	Yes	Official authority	Yes	Ensuring high standard of health care
007. Customer Contact Support	7.14	Telephone recordings (incoming in to 0300)	Recordings of phone conversations at NCSC. Interaction of the call are logged	6 months	Yes	Yes	Official authority	Yes	Ensuring high standard of health care
007. Customer Contact Support	7.15	Data security breaches	Data security breaches log and all related emails.	1 year	No	No	Not applicable	No	Not applicable
007. Customer Contact Support	7.16	Hard copy scanned material (civil enforcement)		3 months to allow for quality assurance checks - followed by checks with legal	Yes	Yes	Official authority	Yes	Ensuring high standard of health care
007. Customer Contact Support	7.17	Hard copy scanned material (criminal enforcement)		6 months to allow for quality assurance checks - followed by checks with legal	Yes	Yes	Official authority	Yes	Ensuring high standard of health care
007. Customer Contact Support	7.18	Post logs	e.g. VIP post logs	1 year	Yes	Yes	Official authority	Yes	Ensuring high standard of health care
007. Customer Contact Support	7.19	Training recordings specific to NCSC coaching	Training specific to NCSC coaching	6 months	CPI redacted	Yes	Official Authority	Yes	Ensuring high standard of health care
008. Publications and engagement	8.1	Engagement activity reports	Evaluation reports, information on tweets, web visits etc. Press cuttings	1 year	None identified	Yes	Public interest task	No	Not applicable
008. Publications and engagement	8.2	Image library	Collection of photos	Retain as long as image has purpose	Yes	Not applicable	Not applicable	Not applicable	Not applicable



Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
008. Publications and engagement	8.3	Model release forms	Completed model release forms for 3rd party events	Retain as long as image has purpose	None identified	Yes	Public interest task	Not applicable	Not applicable
008. Publications and engagement	8.4	Share your experience	This is a system for gathering information. Retention and protection will depend on the content of the form	Retention period will depend on content	None identified	Yes	Official authority	No	Not applicable
008. Publications and engagement	8.5	Media and journalist contact lists and stakeholder lists	Press release administration	Retain until superseded	None identified	Yes	Public interest task	No	Not applicable
008. Publications and engagement	8.6	Incident reports for media responses provided by inspectors		3 years	None identified	Yes	Public interest task	No	Not applicable
008. Publications and engagement	8.7	Press Release- drafts		6 months after release	None identified	Yes	Public interest task	No	Not applicable
008. Publications and engagement	8.8	Press Release - final		Retain permanently	None identified	Yes	Public interest task	No	Not applicable
008. Publications and engagement	8.9	User and public involvement administration documentation	Correspondence, minutes, agendas. Including listening events	2 years	None identified	Yes	Public interest task	No	Not applicable
008. Publications and engagement	8.10	Public and user consultation, e.g. Market research	Papers minutes, documents	2 years from close of consultation	None identified	Yes	Public interest task	No	Not applicable
008. Publications and engagement	8.11	Working papers, evidence used towards reports		1 year	None identified	Yes	Public interest task	No	Not applicable
008. Publications and engagement	8.12	Publications (e.g. Annual reports and Inspection reports)	State of care and MHA reports. Thematic reviews, Deprivations of Liberty Safeguards- DoLS, Annual report, Inspection reports	Retain permanently	None identified	Yes	Official authority	No	Not applicable
008. Publications and engagement	8.13	Website testing- usability reports from external provider	Usability reports from external provider	1 year following go live	None identified	No	Not applicable	No	Not applicable
008. Publications and engagement	8.14	Digital signatures	Collection of signatures e.g. Chief Executive	Retain whilst employed	None identified	Yes	Public interest task	No	Not applicable
008. Publications and engagement	8.15	Intranet news		1 year	None identified	Yes	Public interest task	No	Not applicable
008. Publications and engagement	8.16	Social Media	____ <a href="http://www.nationalarchives.gov.uk/webarchive/twitter.htm">http://www.nationalarchives.gov.uk/webarchive/twitter.htm</a> (____ <a href="http://www.nationalarchives.gov.uk/webarchive/twitter.htm">http://www.nationalarchives.gov.uk/webarchive/twitter.htm</a> )	As per related records	None identified	Yes	Public interest task	No	Not applicable
008. Publications and engagement	8.17	Public and user consultation, e.g. Market research	Outcome of the public consultation	Retain permanently	None identified	Yes	Public interest task	No	Not applicable
009. ICT	9.1	IT asset register	Records of license & keys, Inventory of hardware, Records of issue and return of equipment, e.g. laptop, Blackberry. Disposal certificates	Retain permanently	None identified	Yes	Contract	No	Not applicable
009. ICT	9.2	System documentation	Manuals guides, build documentation, configuration documents	3 years after decommissioning	None identified	Yes	Contract	No	Not applicable
009. ICT	9.3	Specific correspondence relating to provision of service/contract	Deleted - covered in series 3 Procurement assets						

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
009. ICT	9.4	Correspondence re internal Projects		5 years	None identified	Yes	Contract	No	Not applicable
009. ICT	9.5	IT disaster recovery plan	Plans for recovery of IT systems	Retain until superseded	None identified	Yes	Contract	No	Not applicable
009. ICT	9.6	Performance information	Feedback on systems, monthly information from Atos and Computacentre and Vodafone. SLA's	Deleted after analysis	None identified	No	Not applicable	No	Not applicable
009. ICT	9.7	System changes -enhancements project	Lists of changes needed to be made to the system project	Updated frequently	None identified	Yes	Contract	No	Not applicable
009. ICT	9.8	Helpdesk calls - Atos record	Log of helpdesk calls- (shared assets with all on IMS3)	Retain permanently	None identified	Yes	Contract	No	Not applicable
009. ICT	9.9	System & user acceptance testing	Process and results- Projects	5 years	None identified	Yes	Contract	No	Not applicable
009. ICT	9.10	Integration, penetration and performance testing	Reports that demonstrate the integrity of CQC systems, highlighting any vulnerabilities and actions. May also contain IP address details	End of service/decommission plus 2 years	None identified	Yes	Contract	No	Not applicable
009. ICT	9.11	Home Worker Print and Broadband log	People's names, home addresses and work landline details	Retain whilst employed	None identified	Yes	Contract	No	Not applicable
009. ICT	9.12	Architecture catalogues, matrices and diagrams	Diagrams and descriptions of CQC's technical components and processes	Retain permanently	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.1	Data source and Indicator Lists - Thematic reviews	Set for each Thematic review	3 years	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.2	Risk Profiling & Scoring and sample selection- Thematic Review		3 years	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.3	Agreed sample selection for Thematic Reviews (not including profiles or scores)	Agreed by the board. Published on the website	Retain permanently	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.4	Data profiles Thematic	Used for Inspection field work. Specific to theme, e.g. Diabetes, end of life care	3 years from publication of national reports	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.5	Qualitative Analysis report for Independent Voice project	Secondary analysis of qualitative data, informing Independent Voice outputs such as Thematic Reviews and State of Care	3 years from publication of national reports	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.6	Qualitative development reports	Analytical reports from qualitative development projects exploring the content and potential of qualitative data	Retain permanently	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.7	Analysis for National Reports	E.g., State of Care	3 years from publication of national reports	None identified	No	Not applicable	No	Not applicable

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
010. Data and Intelligence reporting	10.8	Inspectors Evidence Template (completed)	Completed by the Inspector to be used by Intelligence to support a National Report, (Thematic's) e.g. State of Diabetes Care	3 years from publication of national reports	Should not include CPI (this would be rare and guidance should state not to include)	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.9	Data collected for Thematic Reviews	Specific to theme, and requested from providers, commissioners etc. Qualitative, Quantitative	3 years from publication of national reports	Should not include CPI (this would be rare and guidance should state not to include)	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.10	Data model	Data Model is a blueprint describing the data used by an organisation, and the way it is structured	Retain permanently	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.11	Draft Data model	Data Model work in progress	1 year	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.12	Provider profile scores, for reports and relevant data extracted by DAMCO	Legacy provider profiles scores	Retain permanently	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.13	Data request (non NHS)	Quarterly data request for indicators from the Independent Healthcare providers (non NHS) ,e.g. patient deaths, hospital visits	3 years	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.14	Controlled drugs dataset	Monthly dataset that feeds in to the Controlled drugs Published Accountable Officer Register. For details of register and report please see Inspections series 0.15	3 years	None identified	Yes	Official Authority	No	Not applicable
010. Data and Intelligence reporting	10.15	Data contact lists	Monthly download of regulatory contact roles. Commercially sensitive if shared outside of CQC. Large volume of information, is publically available in small volume. E mail address not publically available but included in the cut of data	1 year	None identified	Yes	Official Authority	No	Not applicable
010. Data and Intelligence reporting	10.16	Published Health and Social Care register	Health and social care register. Register of registered providers	Published version	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.17	Data Warehouse content -raw data	Including, Registration, Notifications, Inspections all activity. Raw data	Retain permanently	Yes	Yes	Official Authority	Yes	Standards of quality and safety of health and social care
010. Data and Intelligence reporting	10.18	Statistics and reporting for our core functions with providers	Static cut of raw data from Data Warehouse	Retain permanently	Yes	Yes	Official Authority	Yes	Standards of quality and safety of health and social care

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
010. Data and Intelligence reporting	10.19	MI products dashboards	Built to answer Information Access Requests, used internally	Retain until superseded	Yes	Yes	Official Authority	Yes	Standards of quality and safety of health and social care
010. Data and Intelligence reporting	10.20	CRILL published data		Retain permanently	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.21	Query trackers	Queries, answered questions, guidance, assessment process, including PQ log & FOI's	5 years	None identified	Yes	Official Authority	Yes	Standards of quality and safety of health and social care
010. Data and Intelligence reporting	10.22	National groups papers	Minutes, agendas of CQC run meetings, or externally hosted e.g. NIB, Info Gov forum	2 years	None identified	Yes	Official Authority	No	Not applicable
010. Data and Intelligence reporting	10.23	Information sharing agreements	E.g., with NHS Digital, NHS England	6 years from end of agreement	None identified	Yes	Official authority	No	Not applicable
010. Data and Intelligence reporting	10.24	External data received as part of an Information Sharing agreement	Identifiable data: HES/MHMDS Identifiable Data from NHS Digital, STEIS and NRLS from NHS improvement, Professional regulators (fitness to practice concerns) data from GMC/GDC/ NHS England, Coroners reports from individual coroners, Ombudsman report & monitoring information from PHSO and LGO	6 years unless retention period is specified in the terms of the agreement	Yes	Yes	Official authority	Yes	Ensuring high standards of healthcare
010. Data and Intelligence reporting	10.25	Data for Risk profiling	Risk based and contextual indicators for all sectors and coded qualitative intelligence, aggregated HES data. e.g. Intelligent Monitoring, CQC insights	Retain permanently	Low numbers of anonymised data in some cases	Yes	Official authority	No	Not applicable
010. Data and Intelligence reporting	10.26	Analysis reports - internal	Bespoke requests about Provider	3 years	May contain CPI	Yes, in some cases	Official authority	If detailed analysis, health information	Ensuring high standards
010. Data and Intelligence reporting	10.27	Internal Indicator development and coding	Development of indicators and analysis. Indicator construction, methodology, scripts, coding, including for dashboard	Retain permanently	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.28	Published Intelligence/Insight Monitoring Methodology.	Data and documentation, technical indicator cookbook (guidance and methodology)	Retain permanently	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.29	Correspondence with providers	Letters/emails regarding data, e.g. outliers, GP Insight	3 years	None identified	Yes	Official authority	No	Not applicable
010. Data and Intelligence reporting	10.30	Data packs/Intelligence packs report snapshot	Completed templates, Final and draft versions, can contain details from the PIR/PIC returns. Including Intelligence Summary report	12 months after publication of the Inspection report, unless enforcement or appeal/rating review is likely	May contain CPI	Yes, in some cases	Official authority	If detailed analysis, health information	Ensuring high standards



Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
010. Data and Intelligence reporting	10.31	Provider Information Return/ Collection	PIR/PIC Returns	ASC- 3 years, GPs -5 years, Hospitals- retain	May contain CPI	Yes, in some cases	Official authority	No	Not applicable
010. Data and Intelligence reporting	10.32	List of information sent in by Trust or Provider	Evidence log for each hospital inspection,(ASC & PMS held by inspectors)	6 months after inspection report published unless enforcement or appeal/rating review is likely	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.33	Ratings results	As produced from rating tool, draft rating to be assessed by sector specific quality assurance and once agreed to be included in published report	6 months after inspection report published unless enforcement or appeal/rating review is likely	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.34	Results/summary of Quality assurance of Intelligence products	Checks, media sign off sheets, MI requests and UAT sign off, PVH and drug datasets checking, Sign off of responses to PQ's etc	Retain while system/product is in use	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.35	Survey reports on National & local level results	Published reports	Retain permanently	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.36	Survey methodology	Published report of official and national statistics	Retain permanently	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.37	Survey data (as per 10.35 and 10.36 above)	Data collected in line with the code of practice for official statistics. Name/address deleted by third party . Analysed and data given to Surveys team. This does not include questionnaire and feedback etc	Retain permanently	None identified	No	Not applicable	No	Not applicable
010. Data and Intelligence reporting	10.38	Survey queries (external) as per 10.37 above	Survey specific queries, relating to content, results of survey, or sampling material	3 years after publication of survey	None identified	Yes	Public Interest task	No	Not applicable
010. Data and Intelligence reporting	10.39	Evidence of the Quality assurance process	Evidence to demonstrate how the QA process has been followed, e.g. 5 stages of the QA policy and supporting documents	Retain while product is still in use	None identified	Yes	Official authority	No	Not applicable
010. Data and Intelligence reporting	10.40	Call for evidence for Thematic	Call for evidence, unlikely to include CPI, Timed collection, snapshot	1 year from publication of national reports.	May contain CPI	Yes	Consent	No	Not applicable
010. Data and Intelligence reporting	10.41	Qualitative risk briefings	Risk briefings produced for inspectors using qualitative data sources	3 years	None identified	Yes	Official authority	No	Not applicable



Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
011. Information Management	11.1	Archived document collections stored off-site	Accession registers, transmittal lists, IM reports, Archiving spreadsheet, closure of accounts	Retain until superseded	None identified	Yes	Official authority	No	Not applicable
011. Information Management	11.2	Disposal certificates	Process of disposing of records, IM certificates, destruction logs for hard copy/electronic	7 years	None identified	Yes	Official authority	No	Not applicable
011. Information Management	11.3	Information Asset Register - full version	Retention periods for Information Assets	Retain permanently	None identified	Yes	Legal obligation	No	Not applicable
011. Information Management	11.4	Scanning manual	Describes process for scanning records to BS10008 standard	Retain permanently	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.5	Register of security groups	Management of access to records	Retain permanently	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.6	Internal Query log	Spreadsheet containing all Internal KIM team queries and responses, including figures for RDM helpdesk requests. Includes KIM input to FOI requests	3 years	None identified	Yes	Public interest task	No	Not applicable
011. Information Management	11.7	Information Asset Register - published version	CQC Asset register	Retain permanently	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.8	Web forms - development	Web forms created	Retained while needed	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.9	Web forms - responses	Results of surveys - Web forms created and then stored in system as csv	3 months	Yes	Yes	Official authority, Contract	Yes	High standards of healthcare, Employee rights
011. Information Management	11.10	Information Governance & Security Policy		Retain permanently	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.11	Code of practice on Confidential personal information		Retain permanently	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.12	Code of practice on CPI consultation responses		2 years or the life of the code whichever is longest	None identified	Yes, where it identifies an individual	Legal obligation	No	Not applicable
011. Information Management	11.13	Freedom of Information & Data Protection access requests / Database	Statistical date of requests, summary information of requested, contact details of requester, decisions on disclosure and exemptions applied	5 years	Yes	Yes	Legal obligation	Yes, where provided	Substantial public interest
011. Information Management	11.14	FOI and DPA request response	Response only	5 years	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.15	FOI and DPA request supporting document and correspondence	Case files and consideration of possible exemptions, advice, notes, FOIA & DPA, ICO correspondence	3 years after last activity	Yes	Yes	Legal obligation	Yes, where provided	Substantial public interest

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
011. Information Management	11.16	Publications scheme and associated guides- model from ICO	List of information that CQC routinely publishes on its Website	Retain permanently	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.17	Privacy impact assessments & technical risk assessments	Record of privacy risk assessments to internal and external business processes. Accessing security risks	Keep in line with associated records, e.g. Project records	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.18	Caldicott approval forms	E.g., Change to using patient info	Keep in line with associated records, e.g. Project records	None identified	Yes for name of requester	Public interest task	No	Not applicable
011. Information Management	11.19	Archive of Internal audit	Previous process, working documents, final reports	5 years	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.20	Security Incidents Log	Tracking over 12 months	5 years	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.21	Security Incidents reports	Individual reports, depending on severity, if no report logged as above	Retain permanently	None identified	Yes	Official authority	No	Not applicable
011. Information Management	11.22	Freedom of Information Act 2000 Policy (FOIA) and Data Protection Act 1998 (DPA) procedures & guidance	Procedures and guidance for handling FOIA, EIR & DPA requests	3 years	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.23	Register of IAOs, IAMs and KIM Champions	Asset owners	Ongoing	None identified	Yes	Legal obligation	No	Not applicable
011. Information Management	11.24	Fraud cases tracker spreadsheet	Summary	6 years	Yes	Yes	Legal obligation	Yes	Establishment, exercise or defence of legal claims
011. Information Management	11.25	Freedom of Information Act 2000 Policy (FOIA) and Data Protection Act 1998 (DPA) procedures & guidance	DELETED- duplicate of asset 11.22						
011. Information Management	11.26	Permanent transfers of records/ collections of records	E.g. to TNA for permanent preservation, other body due to change in responsibilities, administration records	Retain permanently	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.27	Transfers/sharing of records/ collections of records	Loan of records -administration	Retain until records returned	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.28	Appraisal of records for permanent preservation	Standard templates i.e. The National Archives	Retain permanently	None identified	No	Not applicable	No	Not applicable
011. Information Management	11.29	Information flows	Flows of personal information- diagrams	Retain until superseded	None identified	No	Not applicable	No	Not applicable

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
012. Legal records	12.1	Litigation, Prosecutions, and Inquests papers	Evidence, such as correspondence with providers, inspection reports, handwritten notes or copied extracts, court/ tribunal papers, case files and correspondence.	7 years after last action or indefinitely where the case concerns persons who lack mental capacity	Yes- redacted for court purposes	Yes	Official authority	Yes	Health care standards
012. Legal records	12.2	Legal advice to CQC staff	Internal work for CQC, broad queries, e.g. Enforcement, Policy teams , Procurement contracts, HR, DBS , Ratings challenges	7 years after last action or indefinitely where the case concerns persons who lack mental capacity	None identified	Yes	Official authority	Yes	Health care standards
013. Corporate Provider & Market Oversight	13.1	Provider financial records	Finance and loss reports	7 years from receipt of information	Yes	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.2	Minutes of engagement meetings	Recording agreements with providers. Agreed internally, not shared externally	7 years	Yes	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.3	Financial Templates & Reports	Standardised quarterly template. Can also receive supplementary information, if required, which can contain personal information	7 years	Yes	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.4	Reports from accountants		7 years	Yes	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.5	Details of group structures and under takings		Retained permanently	Yes	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.6	Criteria of Market Oversight and list of providers in Market Oversight	General description setting out regulations and the guidance for Providers is published on the Internet. Plus the list of Providers	Retained permanently	None identified	Not applicable	Not applicable	Not applicable	Not applicable
013. Corporate Provider & Market Oversight	13.7	General correspondence	DELETED						
013. Corporate Provider & Market Oversight	13.8	Provider 'Brand Profile'	Detailed quality profile of brand and update of engagement activity	7 years	No	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.9	Official Notes of engagement meetings	Regular Provider meetings, agreed notes, no financial information, but may be business sensitive	7 years	Yes	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.10	Monthly Bulletin	Highlights providers of concern and corporate performance and may be business sensitive	2 years	Yes	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.11	Risk Register	Records brands not on the CPT portfolio where risk is identified	Retained permanently	Yes	Yes	Official authority	No	Not applicable

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
013. Corporate Provider & Market Oversight	13.12	Risk Rating Report	Rates level of concern of providers on portfolio using criteria in line with CQC's Managing Risks to the Quality of Care	Retained permanently	Yes	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.13	Regional Risk Panel reports	DELETED -duplicate see Registration 14.9						
013. Corporate Provider & Market Oversight	13.14	Portfolio list with allocated Relationship leads and Strategic leads		Retained permanently	No	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.15	Quarterly Risk Report	Highlights brands of concern and actions being taken	2 years	Yes	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.16	Provider queries, feedback and concerns		3 years	Yes	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.17	Provider strategic documents	Requested by CQC to provide evidence or assurance regarding improvement or to collate a more detailed profile	2 years	Yes	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.18	Criteria Methodology	Internal information regarding the criteria methodology and how it is applied. Includes any decisions made about changes to the criteria. Not shared externally	Retained permanently	None identified	Not applicable	Not applicable	Not applicable	Not applicable
013. Corporate Provider & Market Oversight	13.19	Evidence to support reports/formal response to queries	Evidence gathered to respond to specific queries or interest in particular topics. Can include surveys, analysis etc	3 years	Yes	Yes	Official authority	No	Not applicable
013. Corporate Provider & Market Oversight	13.20	Reports/formal response to queries	Our formal response to specific queries, or reports on particular topics. Which can include summary of survey findings, and results of analysis	7 years	None identified	Not applicable	Not applicable	Not applicable	Not applicable
013. Corporate Provider & Market Oversight	13.21	Reports	Published reports on particular topics	Retained permanently	None identified	Not applicable	Not applicable	Not applicable	Not applicable
013. Corporate Provider & Market Oversight	13.22	Briefing Analysis	Detailed intelligence for every brand record. See IAR series 10 Intelligence 10.27	See IAR series 10 Intelligence 10.27					
014. Registration records	14.1	Registration Application Assessment & Recommendation report (changing name to Registration report)	Application form, Assessment & recommendation report, includes the minor amendment form (currently but this is changing). Including ASC assessment framework, Healthcare Framework	7 years after deregistration	Yes	Yes	Legal obligation	Yes where relevant	Ensuring high standards of care
014. Registration records	14.2	Notice of Decision to register with agreed conditions		7 years after deregistration	None identified	Yes	Official authority	Yes	Ensuring high standards of care
014. Registration records	14.3	Notice of Proposal to refuse or register with conditions which are not agreed		7 years after refusal or 7 years after deregistration	None identified	Yes	Official authority	Yes	Ensuring high standards of care



Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
014. Registration records	14.4	Statement of purpose		7 years after deregistration or 3 years after updated	None identified	No	Not applicable	No	Not applicable
014. Registration records	14.5	Disclosure and Barring DBS	Successful and unsuccessful applications	6 months after final registration decision/notice of decision	Yes	Yes	Official authority	Yes where relevant	Ensuring high standards of care
014. Registration records	14.6	Disclosure and barring - unsuccessful DELETED - combined with 14.5							
014. Registration records	14.7	Registration correspondence (outbound)	Letters & email	6 months after final decision - (including appeals, tribunal etc)	Yes	Yes	Official authority	Yes where relevant	Ensuring high standards of care
014. Registration records	14.8	Register of providers is in series 10	See series 10 Includes the content of the Registration Certificate	Please see IAR series 10 for more detail.					
014. Registration records	14.9	Internal Meetings	Quality Control Group, Query Handling Group , Registration Quality Performance & Risk group, Senior Leadership Meeting, Registration Leadership Meeting, Quality panels, NQAG	2 years	None identified	No	Not applicable	No	Not applicable
014. Registration records	14.10	Withdrawn/refused applications, including the application form and supporting documents	Application forms and supporting documents	2 years after final decision ( including appeals, tribunal etc.)	Yes	Yes	Official authority	Yes where relevant	Ensuring high standards of care
014. Registration records	14.11	Site visit notes - handwritten	Handwritten notes, which are typed up to form the site visit notes	6 months after decision for registration or published for Inspection unless enforcement or appeal is likely	Yes	Yes	Official authority	Yes where relevant	Ensuring high standards of care
014. Registration records	14.12	MRR Management Review Record	Record completed and stored as an attachment. Audit trail of decision made , for registration judgements - to register. Includes all MRM records	Retain whilst registered	Yes	Yes	Official authority	Yes where relevant	Ensuring high standards of care
014. Registration records	14.13	MRM Management Review Meeting- Registration	Deleted 2018/19						
014. Registration records	14.14	Registration Planning Tool, Site Visit Record” and “Fit person notes	Typed up notes saved and used to support the recommendation report	Retain whilst registered	Yes	Yes	Legal obligation	Yes where relevant	Ensuring high standards of care
014. Registration records	14.15	Registration supporting documents	Financial information, forecast, business plan, references, training, policies and procedures	6 months after final decision - (including appeals, tribunal etc.)	Yes	Yes	Legal obligation	Possible in references	Ensuring high standards of care
014. Registration records	14.16	Representations received	Provider representations relating to refusal or conditions for registration	6 months from the date of the Commission’s decision re the representations or the first tier tribunal	Yes	Yes	Official authority	Yes where relevant	Ensuring high standards of care



Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
014. Registration records	14.17	Safeguarding unregistered providers	Information received and following action	3 years	Yes	Yes	Official authority	Yes where relevant	Ensuring high standards of care
014. Registration records	14.18	Financial Viability records	Information from third party regarding a providers financial status	7 years	Yes	Yes	Official authority	No	Not applicable
014. Registration records	14.19	Registration Insight Report	Existing information that we hold gathered in to a report to inform the assessment	6 months after final (registration) decision	Yes	Yes	Official authority	No	Other
014. Registration records		MRM Management Review Meeting- Unregistered Enforcement	see Enforcement IAR series 0.17	Please see Enforcement IAR series 0.17					
014. Registration records		Unregistered provider, monitoring	See series 0.17	See Enforcement IAR series 0.17					
014. Registration records		Registration Notifications	see Inspection series 15	See Inspection IAR IAR series 15					
014. Registration records		Risk register	See Org management series 5 (5.11)	see Org Management IAR series 5 (5.11)					
015. Inspection records	15.1	Information to support inspection findings	Strategies, policies, staff rotas, training records, document, images, comment cards, handwritten notes gathered during an inspection (All notes, including Inspectors, ExE and Spa)	6 months after final report is published unless enforcement or appeal/rating review is likely	Yes	Yes where relevant to staff and service users	Official authority	Yes in certain circs particularly around health information	Standards of quality and safety of health care
015. Inspection records	15.2	Draft inspection reports	All draft inspection reports	6 months after final report is published	None identified	Yes where information may relate to individuals	Official authority	No	Not applicable
015. Inspection records	15.3	Published inspection reports	Including evidence appendix (PMS, Hospitals) and Inspection report supplementary. Includes Defence Medical Service and Children's service reports	Retain permanently	None identified	Yes where information may relate to individuals	Official authority	No	Not applicable
015. Inspection records	15.4	Post Inspection Feedback	Feedback forms for ASC, letter to be used in Hospitals	6 months after final report is published unless enforcement or appeal/rating review is likely	Yes	Yes where issues relating to individuals are raised	Official authority	Yes in certain circs particularly around health information	Standards of quality and safety of health care
015. Inspection records	15.5	Factual accuracy comments		6 months after final report is published unless enforcement or appeal/rating review is likely	None identified	Yes where issues relating to individuals are raised	Official authority	No	Not applicable
015. Inspection records	15.6	Investigation findings	Summary	Retain permanently	None identified	No	Not applicable	No	Not applicable

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
015. Inspection records	15.7	Information of concern	Information sent in by the public, e.g. Share your experience, email, phone call. Used to trigger response. CQC will then gather evidence	Keep to inform the action taken. Retain until CQC action complete	Yes	Yes where relevant to staff and service users	Official authority	Yes in certain circs particularly around health information	Standards of quality and safety of health care
015. Inspection records	15.8	Routine & Significant Notifications	Log of the notifications, not the attachments	Retain permanently	None identified	No	Not applicable	No	Not applicable
015. Inspection records	15.9	Safeguarding		3 years	Yes	Yes where relevant to staff and service users	Official authority	Yes in certain circs particularly around health information	Standards of quality and safety of health care
015. Inspection records	15.10	Whistleblowing		3 years	Yes	Yes where relevant to staff and service users	Official authority	Yes in certain circs particularly around health information	Standards of quality and safety of health care
015. Inspection records	15.11	Consent forms	Forms for consent and confirmation to interview a child/young person/adult	3 years	Yes	Yes	Official authority	No	Not applicable
015. Inspection records	15.12	Letter of authority (aka warrant letters)	Letter giving delegated authority to a named person - for example a SpA, to accompany inspector/s on a specific dated inspection visit to enter and inspect providers undertaking regulated activities in accordance with sections 62 and 63	Destroy hard copy once the Inspection is complete	None identified	Yes	Official authority	No	Not applicable
015. Inspection records	15.13	Controlled Drugs Register and annual report	DELETED - see asset 15.26 & 15.27						
015. Inspection records	15.14	Deaths	Death notifications, including other information from Coroner	3 years after case is closed	Yes	Yes as notifications or other collected data may contain identifiers for living individuals e.g. staff members as well as the deceased	Official authority	No	Not applicable
015. Inspection records	15.15	MHA Reviewer monitoring report	Final report	Retain permanently	Yes	Yes	Legal obligation	Yes	Health or Social Care Treatment

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
015. Inspection records	15.16	MHA Reviewer monitoring report	Draft report	6 months	Yes	Yes	Legal obligation	Yes	Health or Social Care Treatment
015. Inspection records	15.17	MHA Reviewer monitoring report supporting documents	Ward information form, patient identifiers, patient contact/interview forms, carer interview forms and patient engagement forms	3 years	Yes	Yes	Legal obligation	Yes	Health or Social Care Treatment
015. Inspection records	15.18	MHA Reviewer action plans for provider	Improvement action plans	3 years	None identified	No	Not applicable	No	Not applicable
015. Inspection records	15.19	Section 134 hospital appeals	Section 134 of MHA (withholding of mail)	3 years	Yes	Yes	Official authority	Yes	Health or Social Care Treatment
015. Inspection records	15.20	Patient treatment forms & SOAD report form	Copies of originals and amended versions of forms T2, T3, T4, T5, CO11, SOAD report form	3 years	Yes	Yes	Official authority	Yes	Health or Social Care Treatment
015. Inspection records	15.21	Second opinion request	Copy of second opinion request	3 years	Yes	Yes	Official authority	Yes	Health or Social Care Treatment
015. Inspection records	15.22	Section 61 (s61) records	Reviewing treatment, notifying in line with MHA	3 years	Yes	Yes	Official authority	Yes	Health or Social Care Treatment
015. Inspection records	15.23	Section 57 (s57) records	Reports from operating and referral centres	3 years	Yes	Yes	Official authority	Yes	Health or Social Care Treatment
015. Inspection records	15.24	SOAD appraisal information	Copies of appraisal documents, audit summary	Retain while SOAD is working for CQC	Yes	Yes	Contract	No	Not applicable
015. Inspection records	15.25	Complaints under MHA	MHA Complaint function	3 years after case is closed	Yes	Yes	Official authority	Yes	Standards of quality and safety of health care
015. Inspection records	15.26	Controlled drugs register	Published accountable officer register	Retain permanently	None identified	Yes	Legal obligation	No	Not applicable
015. Inspection records	15.27	Controlled drugs annual report & newsletter	Annual report to detail findings to government, Published report, 2 supporting reports - stakeholder and cross border colleagues. Newsletters about Controlled Drugs published on the website 4 subgroups	Retain permanently	None identified	No	Not applicable	No	Not applicable
015. Inspection records	15.28	Minutes	Controlled drugs national group, & sub groups & cross border group, minutes, minutes, group meetings - 3 times a year & sub groups	3 years - findings are reported annually.	Yes	Yes	Official authority	No	Not applicable
015. Inspection records	15.29	Minutes	Redacted version of minutes	3 years - findings are reported annually.	None identified	No	Not applicable	No	Not applicable
015. Inspection records	15.30	External meetings- minutes	LINS minutes from meetings, can cover sensitive issues.	3 years	Yes	Yes	Official authority	No	Not applicable
015. Inspection records	15.31	External meetings- feedback forms	LINS feedback forms.	7 years	None identified	No	Not applicable	No	Not applicable

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
015. Inspection records	15.32	IRMER Notifications	Notifications under the Ionising Radiation (Medical Exposure) Regulations 2017	3 years	Yes (would be redacted)	No	Not applicable	Not applicable	Not applicable
015. Inspection records	15.33	IRMER Investigation records	Email communications regarding the Notification/information provided by Whistle-blower. Records resolving the issue, including the closure record	3 years	Yes (when Whistle-blower)	Yes	Legal obligation	Yes in certain circs particularly around health information	Standards of quality and safety of health care
015. Inspection records	15.34	IRMER Inspection records	Reactive and proactive, includes information gathered during the visit, email communications and closure record	3 years	None identified	Yes	Legal obligation	Yes in certain circs particularly around health information	Standards of quality and safety of health care
015. Inspection records	15.35	IRMER Improvement notice	First level enforcement action under IRMER	3 years	None identified	No	Not applicable	Not applicable	Not applicable
015. Inspection records	15.36	IRMER Notifications log	Record of all notifications, and brief summary of Investigation or Inspection outcomes	Retain permanently	None identified	No	Not applicable	Not applicable	Not applicable
015. Inspection records	15.37	Ratings submission and outcome	Submission from provider and our outcome letter	5 years	None identified	No	Not applicable	No	Not applicable
015. Inspection records	15.38	Routine Notifications	SN18 Other Incidents	6 months	Yes	Yes	Legal obligation	Yes	Standards of quality and safety of health care
015. Inspection records	15.39	Significant Notifications		3 years	Yes	Yes	Legal obligation	Yes	Standards of quality and safety of health care
015. Inspection records	15.40	Completed Quality Assurance (QA) tool DELETED covered by new asset 15.43 added 2019/20							
015. Inspection records	15.41	Warrant letter audit trail	Audit trail relating to issuing of warrant letters for Inspections	Destroy hard copy once the Inspection is complete	Yes	Yes	Official authority	No	Not applicable
015. Inspection records	15.42	Supporting documents for investigation in to specific incidents /notifications	Investigations that do not lead to civil or criminal action and need not further action (NFA)	6 months after no further action (NFA) decision	Yes	Yes	Official authority	Yes	Ensuring high standards of health care
015. Inspection records		IRMER Enforcement notice	See series 17 Enforcement	See series 17 Enforcement					
015. Inspection records	15.43	Quality Assurance Record	Records of Regulatory Planning Meeting, Ratings Approval Meeting and Subsidiary Quality Assurance Group processes.(Independent Hospitals). PMS QA tool, which provides audit trail of decision making and moderation. Can include management decision regarding minor regulation breaches	Until subsequent Inspection report	No	Yes	Official authority	No	Not applicable

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
015. Inspection records	15.44	Regulatory plan - (Hospitals)	Live document, gets updated with relationship engagement, or issues of concerns and includes inspection proposal - The plan gets agreed at RPM. Summary of all risks etc.. Trusts specific	6 months after Inspection report published	Yes	Yes	Official authority	No	Not applicable
016. Policy & Strategy	16.1	EDHR guidance	Internal use, FAQ's for Inspectors	Retain until superseded	None identified	No	Not applicable	No	Not applicable
016. Policy & Strategy	16.2	EDHR Queries and responses to external/members of public	Correspondence, and telephone queries. Spreadsheet query log (same log as used for 16.3)	3 years after query resolution	Yes	Yes	Public interest task, Official authority (which is used or Complaints)	Yes	Ensuring high standards of healthcare
016. Policy & Strategy	16.3	EDHR advice to staff	Spreadsheet query log, same as external, as the internal queries often links to external service (same log as used for 16.2)	3 years after query resolution	Yes	Yes	Public interest task, Official authority (which is used or Complaints)	Yes	Ensuring high standards of healthcare
016. Policy & Strategy	16.4	Equality -objectives	Published	Retain permanently	None identified	No	Not applicable	No	Not applicable
016. Policy & Strategy	16.5	Equality Impact assessment (EIA) for regulatory functions	Done for every policy and change of function	Retain permanently	None identified	No	Not applicable	No	Not applicable
016. Policy & Strategy	16.6	Internal Equality Impact assessment (EIA)	Done for every policy and change of function	Retain permanently	Yes	Yes	Legal obligation (Equality Act 2010)	Yes	Employment rights
016. Policy & Strategy	16.7	Equality Impact Assessment (EIA) spreadsheet	Used by the team for reference and monitoring	Retain permanently	None identified	No	Not applicable	No	Not applicable
016. Policy & Strategy	16.8	EDHR Annual Report evidence	e.g. aggregation of data, Patient Survey	3 years from publication of Annual reports	None identified	No	Not applicable	No	Not applicable
016. Policy & Strategy	16.9	Annual equality and human rights review	Was a publication in its own right, is to be combined with annual report & state of care from 2015	Retain permanently	None identified	No	Not applicable	No	Not applicable
016. Policy & Strategy	16.10	Development of provider handbooks, handbooks and tools for inspectors	Development of provider handbooks and guidance, KLOEs and the tools to enable inspectors to look at the KLOEs, including consultation	2 years from conclusion of area of work	None identified	No	Not applicable	No	Not applicable
016. Policy & Strategy	16.11	Drafts	Provider Handbooks, Policy, Strategy	6 months after publication	None identified	No	Not applicable	No	Not applicable
016. Policy & Strategy	16.12	Handbooks and tools for inspectors	Handbooks and guidance, KLOEs and the tools to enable inspectors to look at the KLOEs	Retain permanently	None identified	No	Not applicable	No	Not applicable



Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
016. Policy & Strategy	16.13	Published provider handbooks and guidance	Final Provider handbook and guidance. All sectors, Adult Social Care, Hospitals, PMS	Retain permanently	None identified	No	Not applicable	No	Not applicable
016. Policy & Strategy	16.14	Policy and strategy development, not internal	Including procedures, meeting minutes, Horizon scanning and knowledge base, CQC Strategy, Inspection Strategy -8 domains	Retain to inform the next cycle of activity.	None identified	No	Not applicable	No	Not applicable
016. Policy & Strategy	16.15	Published policy and strategy, relating to Inspections, CQC Strategy, not internal	Published policy and strategy	Retain permanently	None identified	No	Not applicable	No	Not applicable
016. Policy & Strategy	16.16	Policy briefings & scoping papers ,e.g. Thematic reviews. For briefings to Executive and Board see IAR series 006	CQC positions on specific policies	6 months from conclusion of area of work (excluding briefings to Executive and Board)	None identified	No	Not applicable	No	Not applicable
016. Policy & Strategy	16.17	Ask P&S Queries and other responses to external/members of public from P & S work	Correspondence, e-mails and telephone queries. Spreadsheet query log, log currently under review. Includes health status for individuals	3 years after query resolution	Yes	Yes	Official authority	Yes	Ensuring high standards of healthcare
016. Policy & Strategy	16.18	Ask MH Queries and other responses to external/members of public from P & S work	Correspondence, e-mails and telephone queries. Spreadsheet query log, log currently under review. Includes health status for individuals	3 years after query resolution	Yes	Yes	Official authority	Yes	Ensuring high standards of healthcare
017. Enforcement	17.1	Evidence for Warning Notice - do not have in evidence bundle it is within the notice using evidence gathered previously	Evidence . Can also include Information gathered and written during an inspection ( ex final public report), Inspector and ExE notes, evidence gathered from providers, witness statements	1 year after compliance with the Warning Notice	Yes	Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care
017. Enforcement	17.2	Evidence Bundle for Notice of Proposal	DELETED replaced by asset 17.12						
017. Enforcement	17.3	Evidence Notice of decision, statement of reasons	DELETED IAM unable to identify from the description						
017. Enforcement	17.4	Evidence Bundle for Prosecution if the court imposes a non-custodial sentence	DELETED Replaced by asset 17.13						
017. Enforcement	17.5	Evidence Bundle for Prosecution if the court imposes a custodial sentence	DELETED Replaced by asset 17.13						

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
017. Enforcement	17.6	Draft Notice	Draft Warning Notice, Draft NOP , Draft NOD	6 months after notice served	None identified	Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care
017. Enforcement	17.7	Warning Notice (non NHS)	Comply with regulations by certain date or further action	5 years after compliance with warning	None identified	Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care
017. Enforcement	17.8	Warning Notice (section 29a)	NHS driving improvement, or special measures	5 years after compliance with warning	Yes	Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care
017. Enforcement	17.9	Management review meeting MRM	Electronic record which holds all information relating to Management Review Meetings. Audit trail of decision made. Including enforcement for unregistered providers. For registered see 14.14	7 years	Yes	Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care
017. Enforcement	17.10	Notice of Proposal	Civil- Suspension- extended suspension (standard) Cancellation (standard) Variation and impose conditions. Refusal (registration)	7 years after deregistration	Yes	Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care
017. Enforcement	17.11	Notice of Decision	Civil - Suspension- extended suspension (standard and urgent) Cancellation (standard and urgent) Variation and impose conditions Refusal (registration)	7 years after deregistration	Yes	Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care
017. Enforcement	17.12	Evidence Bundle for Civil Enforcement	Seized evidence . including Information gathered and written during an inspection ( ex final public report), Inspector and ExE notes, evidence gathered from providers, witness statements.	7 years after enforcement case closed or after deregistration	Yes	Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
017. Enforcement	17.13	Information in support of criminal proceedings	Criminal Witness Statement, Criminal Witness List, Criminal Exhibit, Criminal Evidence Register, Criminal Enforcement Report, Criminal Legal Advice, Criminal Costs Schedule, Criminal Witness Availability, Criminal Unused Non-Sens Schd, Criminal unused Sens Schd, Criminal Disc Officer Report, Criminal No Action Ltr, Criminal Ltr Victim/Family, Criminal Scan/Store Rqst Form, Criminal Ltr to Witness, Criminal Legal Advice Req Form	7 years from date of not guilty verdict or sentencing	Yes	Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care
017. Enforcement	17.14	Simple Caution	Criminal, signed copy accepting caution	10 years	Yes	Yes	Official authority	No	Not applicable
017. Enforcement	17.15	Fixed Penalty Notice	Criminal if not paid could lead to prosecution	7 years		Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care
017. Enforcement	17.16	RIPA Authorisation	Records relating to authorisation to use Regulation of Investigatory Powers Act 2000	7 years		Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care
017. Enforcement	17.17	RIPA covert surveillance	Evidence, records relating to carrying out covert surveillance	7 years	None identified	Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care
017. Enforcement	17.18	Urgent - magistrates order	An order under our act. Appeal is to the tribunal (civil)	7 years	Yes	Yes	Official authority	No	Not applicable
017. Enforcement	17.19	Statement of reasons for urgent magistrates order	CQC legal submission setting out reasons for requesting urgent magistrates order to cancel registration	7 years	Yes	Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care
017. Enforcement	17.20	GAIN intelligence	Highly sensitive intelligence relating to potential organised crime within the health & social care sector	7 years from date of not guilty verdict or sentencing	Yes	Yes	Official authority	Yes	Establishment, exercise or defence of legal claims, Ensuring high standards of health care
018. HealthWatch England	<a href="#">Series is now held on the Healthwatch website</a>								

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
019. National Guardians Office	19.1	Case Review	Review log, referral forms, decision forms, evidence, findings, draft reports	6 months after final report or findings are made unless legal activity or challenge likely	Yes	Yes	Consent, Public interest task	Yes data reveals racial or ethnic origin	Substantial public interest
019. National Guardians Office	19.2	Case Review report	Published report. For reports with a wider remit e.g. on Trust	Retain permanently	No	Yes	Consent, Public interest	No	Not applicable
019. National Guardians Office	19.3	Statistics	Patterns, trends, statistics, quarterly data collection	Retain permanently	No	No	Not applicable	No	Not applicable
019. National Guardians Office	19.4	Enquiries	Enquiry log, qualifying disclosure log, correspondence	See Common Asset series C12 and C13 for internal and external enquiries	Yes	Yes	Official Authority	No	Not applicable
019. National Guardians Office	19.5	Advice to individual Speak Up Guardians		See Common Asset series C12 and C13 for internal and external enquiries logs	Yes	Yes	Official Authority	No	Not applicable
019. National Guardians Office	19.6	Advice, guidance and information for Freedom to Speak up Guardians	Bulletins, newsletters, correspondence	1 year	Yes	Yes	Official Authority	No	Not applicable
019. National Guardians Office	19.7	Data collection	Quarterly collection from guardians	3 year	No	No	Not applicable	No	Not applicable
019. National Guardians Office	19.8	Public Directories, grids and contacts	FTSUG public directories, office only grids, stakeholder grids, private providers' contacts	See 8.5 for stakeholder lists, 8.3 for model release consent forms	No	Yes	Consent Public Interest	No	Not applicable
019. National Guardians Office	19.9	Training	Training material. List of attendees to foundation training and information sessions (external training)	2 years	No	Yes	Official Authority	No	Not applicable
019. National Guardians Office	19.10	Bulletin submission forms		See Publications series 8 (8.03, 8.12)	No	Yes	Consent	No	Not applicable
019. National Guardians Office	19.11	Photography consent forms	Photographs taken and used in any publication	See Publications series asset 8.3	No	Yes	Consent	No	Not applicable
019. National Guardians Office		Publications/ public reports	Annual report, case review reports, Guardian surveys, qualifying disclosure report, training guide	See Publications series 8 (8.12)					
019. National Guardians Office		Questionnaire	E.g. Non statutory surveys & feedback from Guardians	See Common Retention C.18					
019. National Guardians Office		External meetings, engagement, conferences	Agendas, correspondence, minutes, biographies, briefings for stakeholders	See Common asset series C.09, see 6.5 for CEO and Chair speeches					

Record Series	Number	Title	Examples	Retention	Confidential Personal Information	Personal Data	Legal basis for processing PD	Special Category Personal data	Legal basis for processing SCPD
019. National Guardians Office		Complaints	Correspondence, evidence, reports	See Governance series 6.16 to 16.19					
019. National Guardians Office		Employment, Finance, Procurement, Organisation management etc..	See Relevant Asset series	See relevant series					
019. National Guardians Office		Case review findings and decision letter (previously 19.4 & 19.5) DELETED. Incorporated into 19.1							