

GENOMICS ENGLAND DOCUMENTS RETENTION SCHEDULE

Last Updated:

24-May-19

Document Name	Team	Record Type	Legal Retention Requirement	Genomics England retention approach	Information Asset Owner	Location	Destruction Authority
Data Definitions	Sample Handling	XSD and XML files	For Length of requirement	30 Years	Director of Sample Handling	On Model Catalogue Portal	Quality Committee
Data Exchange between GMC and GEL	Sample Handling	CSV, XML, PDF Files	For Length of requirement	30 Years	Director of Sample Handling	sFTP	Quality Committee
Clinical Records	Sample Handling	Database record	For Length of requirement	30 Years	Director of Sample Handling	Mercury - PostGreSQL db	Quality Committee
Sample Tracking records	Sample Handling	Database record	For Length of requirement	30 Years	Director of Sample Handling	SampleTracking - PostGreSQL db	Quality Committee
Error and Success messages between GMCs/GLHs	Sample Handling	Database record	For Length of requirement	10 Years	Director of Sample Handling	BuRST - PostGreSQL db	Quality Committee
Open CGA data	Bioinformatics	Database record	30 years	30 Years	Director of Bioinformatics	Database	Quality Committee
CIP API Data	Bioinformatics	CIP API Data	30 years	30 Years	Director of Bioinformatics	Database	Quality Committee
system logs (Bertha, open CGA, CVA, CIP API, CDI)	Bioinformatics	Logs	?	10 Years	Director of Bioinformatics	Database Logs	Quality Committee
Audit data showing records amended/deleted	Platforms engineering	Logs	?	10 SIRO	Director of Bioinformatics	Database Logs	Quality Committee
Bioinformatics system Backups	Platforms engineering	Database record	?	10 Years	Director of Technology	Database	Quality Committee
Interpretation results (tiering)	Bioinformatics	Summary of findings	30 years	30 Years	Director of Bioinformatics	Database	Quality Committee
Bam / CRAM/ gVCF / VCF Files	Bioinformatics	Sequenced Genome	5 years	30 years	Director of Bioinformatics	Machine output	Quality Committee
CVA	Bioinformatics	Database record	?	30 years	Director of Bioinformatics	Database	Quality Committee
Validation data	Bioinformatics		?	10 years	Director of Bioinformatics		Quality Committee
Complaints	Service Delivery	JIRA ticket	10years	10 years	Head of Service Delivery	JIRA Service Desk	Quality Committee
Participants enquiries	Service Delivery	JIRA ticket	10 years	10 years	Head of Service Delivery	JIRA Service Desk	Quality Committee
Incidents	Service Delivery	JIRA ticket	20 Years Serious Incidents / 10 Years Incidents Indefinite	10 years	Head of Service Delivery	JIRA Service Desk	Quality Committee
Change/releases	Service Delivery	JIRA ticket	Indefinite	10 years	Head of Service Delivery	JIRA Service Desk	Quality Committee
Azure access logs	Service Delivery	Logs	?	10 years	Head of Service Delivery	Azure Database	Quality Committee

Access details	Service Delivery	OpenDJ	Indefinite	10 years	Head of Service Delivery	OpenDJ	Quality Committee
Shortlisting Decisions	Human Resources	Personnel	none	6 months after recruitment of successful candidate	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Interview Notes	Human Resources	Personnel	none	6 months after recruitment of successful candidate	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Pre - employment vetting /screening	Human Resources	Personnel	none	Retained by 3rd party provider (Sterling back)	Head of Human Resources	Suppliers portal	Supplier (Sterling talent)
CVs of unsuccessful candidates	Human Resources	Personnel	none	6 months after recruitment of successful candidate	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
CV of successful candidates	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Personal details - starter	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Offer Letters	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left if offer is	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Contracts of employments	Human Resources	Personnel	none	Retained on an individual's HR file for 7 years after person has left.	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Right to work documents	Human Resources	Personnel	2 years	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Secondment agreements	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Contractor terms and conditions	Human Resources	Personnel	none	If there is a contractor file, retain on contractor's file for 7 years after contract has ended. Otherwise retain with other service contracts	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Variation of contractual agreements	Human Resources	Personnel	none	Most recent variation retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources

Probationary period records	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Annual leave records	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Redundancy related records	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Termination of employment	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Incapacity for work and statutory sick pay	Human Resources	Personnel	3 years after the end of the tax year to which the records relate.	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Appraisals	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Absence during pregnancy and statutory maternity pay	Human Resources	Personnel	3 years after the end of the tax year in which the employee's maternity	Retained on an individual's HR file for 7 years after person has left.	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Paternity pay, statutory shared parental pay and statutory adoption pay	Human Resources	Personnel	3 years after the end of the tax year in which payments of SPP, ShPP or SAP were made	Retained on an individual's HR file for 7 years after person has left.	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Pension scheme information	Human Resources	Personnel	6 years (12 years if by deed)	12 years from the ending of any benefit payable.	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Salary information	Human Resources	Personnel	3 years after the end of the tax year to which the records relate.	3 years plus current year	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Discipline records	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Grievance record	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Dismissal record	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Leaver details	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Exit Interview records	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Benefits management records (eg childcare vouchers)	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Occupational Health Records	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources

Reasonable adjustments	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Financial and tax information (including pay, pension and benefit entitlements, bank details and national insurance numbers)	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	HR system – individual record . Huddle – HR restricted area/ personal file	Head of Human Resources
Absence and leave records containing special categories of personal data (including details of absence or leave taken, the reasons for absences, the type of leave, information about medical or health conditions, reasonable adjustments, records of absence management discussions, correspondence with employees and	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	HR system – individual record . Huddle – HR restricted area/ personal file	Head of Human Resources
Work Experience Records	Human Resources	Personnel	none	Retained on file for 6 months	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Internship Records	Human Resources	Personnel	none	Retained on individual's HR file for 6 months after person has left.	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Sponsored Study applications and agreements	Human Resources	Personnel	none	Retained on individual's HR file for 7 years after person has left	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Training event records	Human Resources	Management information	none	Indefinite for existing staff. Archived in EQMS after person has left.	Head of Human Resources	On eQMS	Head of Human Resources
Organisational charts	Human Resources	Management information	none	Saved by HR on restricted folders in Huddle and superceded by updated versions on a regular basis	Head of Human Resources	HR restricted in Huddle and on open Huddle folder	Head of Human Resources
Workforce Plans	Human Resources	Management information	none	Saved by HR on restricted folders in Huddle and superceded by updated versions on a regular basis	Head of Human Resources	HR – Finance folder (restricted) in Huddle	Head of Human Resources
Mission critical people and post planning	Human Resources	Management information	none	Saved by HR on restricted folders in Huddle and superceded by updated versions on a regular basis	Head of Human Resources	HR restricted in Huddle	Head of Human Resources
Reports to ELT on people related changes and minutes	Human Resources	Management information	none	Saved by HR on restricted folders in Huddle - 7 year retention period	Head of Human Resources	Huddle - HR restricted	Head of Human Resources
Reports to the board on people related matters and minutes	Human Resources	Management information	none	Saved by HR on restricted folders in Huddle for 10 years from the date of the meeting, but formally managed	Company Secretary	Huddle - HR restricted	Head of Human Resources
Accidents at work and work-related illness	Human Resources	Health related	Minimum of three years from the date on which the record was made.	Accident Book to be retained for 4 years from the date of the recorded event. Work related illness see entry 54 above.	Head of Human Resources	Accident book /Held with PA at Dawson Hall and at 12 CS	Head of Human Resources

Injuries, fatalities, diseases and dangerous occurrences	Human Resources	Health related	Minimum of three years from the date on which the record was made.	4 years.	Head of Human Resources	Huddle/FM folder (restricted)	Head of Human Resources
DSE assessment	Human Resources	Facilities related	3 years	3 years for general DSE Assessments	Head of Human Resources	Huddle/FM folder (restricted)	Head of Human Resources
Risk assessments	Human Resources	Facilities related	3 years	3 years (same as DSE) .	Head of Human Resources	Huddle/FM folder (restricted)	Head of Human Resources
Young people at Work	Human Resources	Facilities related	none	2 years from the date on which records were made.	Head of Human Resources	Huddle/FM folder (restricted)	Head of Human Resources
Exposure to specified hazardous substances	Human Resources	Health related	40 years from the date of the last entry made in it.	41 years from the date of the last entry made in the record.	Head of Human Resources	Huddle/FM folder (restricted)	Head of Human Resources
Employers Liability Insurance Certificate	Human Resources	Health related	40 years	41 years	Head of Human Resources	Huddle/FM folder (restricted)	Head of Human Resources
Deeds of title	Facilities related	Permanent or until property is disposed of	Permanent or until property is disposed of	Permanent or until property is disposed of	Facilities Manager	Huddle/FM folder (restricted)	Chief Operating Officer
Leases	Facilities related	12 years after the lease and liabilities under the lease have terminated		13 years after the lease and liabilities under the lease have terminated	Facilities Manager	Huddle/FM folder (restricted)	Chief Operating Officer
Plant and machinery	Facilities related	Until one year after the plant and machinery is removed from the building	until one year after the plant and machinery is removed from the building	until one year after the plant and machinery is removed from the building	Facilities Manager	Huddle/FM folder (restricted)	Chief Operating Officer
Records of major refurbishments, warranties, planning consents, design documents,	Facilities related	13 years for actions against contractors etc. Copy of title deeds should be kept for six years after disposal.	7 years for actions against contractors etc.	7 years for actions against contractors etc.	Facilities Manager	Huddle/FM folder (restricted)	Chief Operating Officer

Fire Certificates	Facilities related	Destroy 12 years after expiry or superseded		Destroy 12 years after expiry or superseded	Facilities Manager	Huddle/FM folder (restricted)	Chief Operating Officer
Contract Records	Facilities related	Records relating to contracts worth less than £5,000 should be destroyed when they are two years old, records relating to contract over £5,000 should be kept for six years and 12 years if under seal.		Destroy 12 years after expiry or superseded	Facilities Manager	Huddle/FM folder (restricted)	General Counsel
Tax	Finance	Tax statements	6 years for HMRC	6 Years	Corporate Controller	Secured area Huddle	Chief Financial Officer
Payroll	Finance	Balance sheets	6 years for HMRC	6 Years	Corporate Controller	Secured area Huddle	Chief Financial Officer
Assets	Finance	Balance sheets	6 years for HMRC	6 Years	Corporate Controller	Secured area Huddle	Chief Financial Officer
Liabilities	Finance	Balance sheets	6 years for HMRC - The latest of: – the first anniversary of 31 January next, following the year of assessment; – the completion of any enquiry into the return; or – the end of the day on which the enquiry window closes	6 Years	Corporate Controller	Secured area Huddle	Chief Financial Officer
Receivables	Finance	Balance sheets	6 years for HMRC	6 Years	Corporate Controller	Secured area Huddle	Chief Financial Officer
Income	Finance	Income statements	6 years for HMRC	6 Years	Corporate Controller	Secured area Huddle	Chief Financial Officer
Contracts and MOU's	Legal	Agreements and Contracts	10 years after the term	10 years after the term	General Counsel	Huddle	General Counsel
Data Sharing Agreements such as Confidentiality Agreements.	Legal	Agreements	For the length of the agreement + 1yr	For the length of the agreement + 1yr	General Counsel	With the business unit and Huddle	General Counsel
Board Minutes and Board Papers	Legal	Official Documents	10 years	10 years	General Counsel		General Counsel
Letters of Appointment for Directors, Board members and the Participant Panel.	Legal	Agreements	Relevant Limitation Period after expiry (TBC)	Relevant Limitation Period after expiry (TBC)	General Counsel	Local confidential storage.	General Counsel
Non-conformity logs	QA	Controlled Document	?	10 Years	Head of QA	JIRA Service Desk	Head of QA
SOPs	QA	Controlled Document	Life of the Organisation + 6 years- How would we keep it for six years after?	Indefinite- Monitored on an annual basis and archived versions retained for 6 years	Head of QA	EQMS	Head of QA

Policies	QA	Controlled Document	Life of the Organisation + 6 years	Indefinite- Monitored on an annual basis and archived versions retained for 6 years	Head of QA	EQMS	Head of QA
Guidelines	QA	Controlled Document	Life of the Organisation + 6 Years	Indefinite- Monitored on an annual basis and archived versions retained for 6 years	Head of QA	EQMS	Head of QA
Quality Manual	QA	Controlled Document	Life of the Organisation + 6 years	Indefinite- Monitored on an annual basis and archived versions retained for 6 years	Head of QA	EQMS	Head of QA