



PARLIAMENTARY AND HEALTH SERVICE OMBUDSMAN

Retention Schedule

Version 1

Document Control

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Change History				
Version	Date	Status	Update by	Comment
0.1	07/08/14	In draft	Katharine Stevenson	<p>Creation of separate Retention Schedule document from the Information Asset Register. Retention periods have not changed from what was in the previous versions of the Information Asset Register.</p> <p>Added in updated casework retention period which was approved by Leadership Team 19/02/14</p> <p>General update of new information assets added.</p> <p>Information Asset Owners updated following restructure</p> <p>Some Class and folder name changes</p>
0.2	07/05/15	In draft	Kay Young	<p>Updated to reflect changes in the file plan in Meridio</p> <p>Amended casework retention period</p> <p>Information Asset Owners updated</p> <p>Included Information Assets stored in SharePoint and G:Drive</p>

1 Purpose

- 1.1 It is best practice and in some cases a legal requirement, to only hold onto information for as long as it is required. The FOI Section 46 Code of Practice proactively encourages the appropriate disposal of information.
- 1.2 The PHSO Retention Schedule identifies the information assets created or held by PHSO, describes the type of asset, identifies the asset owner, the retention period for the asset and the reason for its retention.
- 1.3 The retention periods set out in the schedule have been set according to business need, as agreed originally by the Executive Board and Information Asset Owners in 2011, and meet legislative and regulatory requirements.
- 1.4 It will be available on Ombudsnet for all staff to view and will be issued to asset owners so they are aware of the assets they own and the retention periods applied to them.

2 Scope

- 2.1 The retention periods apply to physical and electronic assets, in any system in which they are stored.

3 Roles and Responsibilities

- 3.1 The Information and Records Management function will be responsible for maintaining the schedule, assigning relevant retention periods for all information assets which will enable disposal activity to be carried out in a consistent and controlled manner.
- 3.2 The Senior Information Risk Owner (SIRO) is a member of the PHSO Board who has responsibility for ensuring that information risks are managed appropriately, balancing this with the requirement to make public data open and re-usable. They are the owner of the retention schedule.
- 3.3 Information Asset Owners (IAOs) are responsible for running a relevant business area that uses a registered PHSO Information Asset. Their responsibility is delegated by the SIRO, to help understand and address risks to their information, and ensure that information is fully used within the law for the public good.

4 Change Control

- 4.1 Information Asset Owners can request a review of retention periods by contacting the Head of IRM.
- 4.2 The Head of IRM will make amendments and additions whenever legislation or business needs change. Changes will be made when there is agreement between the Head of IRM and the relevant IAO. These changes will be reported to the SIRO by the Head of IRM.
- 4.3 The retention schedule will be reviewed annually by the Head of IRM, or more frequently as business needs dictate.

5 Structure of the Retention Schedule

- 5.1 The Retention Schedule contains a description of information assets in each section. This contains a brief description of what the information asset is, more detail on what the components of the information asset are, and the area of the business supported by the information asset. Each section contains details of relevant information assets with the following fields:

Field	Explanation
Information Assets	The types of information to be grouped together, e.g. in a class
Information Asset Owner	The Executive Director or Director who is responsible the information
Retention Period and Reason	How long the information asset should be kept. The reason why the information is being retained (i.e. business use, legislation, regulation etc.)
Disposal Action and Review instruction	Guidance for the IRM team or SIMAs on how to proactively dispose (i.e. archive/destroy) information dependent on the system in which it is stored

- 5.2 The retention schedule is structured around the corporate file plan. The sections referred to in the schedule are the sections of the file plan. As the purpose of the schedule is to group types of assets, the does not list assets at folder level unless required for specific disposal reasons.

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Section 1: Governance and Strategic Management

Description of assets:

The governance and strategic management section contains assets relating to governance, corporate meetings, management meetings, strategic and business planning, corporate performance and risk and audit. This includes the annual report, minutes, papers and agendas for the Advisory Board, Audit Committee, Board and Pay Committee, Leadership Team divisional meetings, strategic, corporate and divisional business plans, internal audit and approved business, casework, corporate, financial and HR strategies, policies and guidance.

The assets set out how PHSO is governed, its relationship with other organisations and the annual review of performance and resources. Some of the assets are available on PHSO's website (final annual report, press releases and other promotion in relation to the annual report, Executive member expenses, governance statement, redacted papers and minutes from corporate meetings, statement of responsibilities and final resource accounts). Other assets, such as corporate performance data, internal audit or fraud investigations, are for internal use only.

Some of the assets in this section contain personal data such as Pay Committee papers, Corporate Performance Data or Fraud Investigations. Other assets will contain sensitive corporate information such as Board papers or management meeting records. Many of the assets are published on PHSO's website such as the annual report, resource accounts, statement of responsibilities and Executive expenses.

1.01 GOVERNANCE / ANNUAL REPORT (Annual Classes)

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Annual report - content, data, promotion	Executive Director External Affairs & Strategy	Retention Period: Destroy 6 years after publication of Annual Report. Reason: Business Use	Meridio Action: Close folder(s) on publication of Annual Report Review Instruction: Delete folder
Annual report - final published report	Executive Director External Affairs & Strategy	Retention Period: Archive 6 years after publication of Annual Report. Reason: Business Use	Meridio Action: Close folder on publication of Annual Report. At Review (6 Years after publication), move final version of Annual Report to the Archive (ARC 5.01) Review Instruction: At Review (6 Years after publication), move final version of Annual Report to the Archive (ARC 5.01) then delete this folder

1.01 GOVERNANCE / EB EXPENSES

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
EB Expenses	Executive Director Finance & Governance	Retention Period: Destroy 6 years after end of financial year. Reason: Taxes Management Act, 1970	Meridio Action: Close folder at end of financial year. Review Instruction: Delete folder

1.01 GOVERNANCE / STATEMENTS AND MEMORANDA

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Accounting Officer Appointment	Executive Director of Finance and Governance	Retention Period: Archive 6 years after Governance Statement approved. Reason: Business Use / Historical Interest	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Archive final version of Accounting Officer Appointment letter. Delete Part after review complete.
Governance Framework	Executive Director of Finance and Governance	Retention Period: Archive 6 years after Governance Statement approved. Reason: Business Use / Historical Interest	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Archive final version of Governance Statement. Delete Part after review complete.
Governance Statement	Executive Director of Finance and Governance	Retention Period: Archive 6 years after Statement of Internal Control approved. Reason: Business Use / Historical Interest	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Archive final version of Governance Statement. Delete Part after review complete.
Memoranda of Understanding	Executive Director of Finance and Governance	Retention Period: Archive 6 years after Governance Statement approved. Reason: Business Use / Historical Interest	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Archive final version of Governance Statement. Delete Part after review complete.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Resource accounts	Executive Director of Finance and Governance	Retention Period: Archive 6 years after Resource Accounts approved. Reason: Business Use / Historical Interest	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Archive final version of Resource Account. Delete Part after review complete.
Statement of Responsibilities	Executive Director of Finance and Governance	Retention Period: Archive 6 years after Statement of Responsibilities approved. Reason: Business Use / Historical Interest	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Archive final version of Governance Statement. Delete Part after review complete.

1.02 CORPORATE MEETINGS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Approved for Publication Corporate Meeting Minutes	Executive Director of Finance and Governance	Retention Period: Destroy 6 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete folder.
Audit Committee	Executive Director of Finance and Governance	Retention Period: Archive 6 years after end of business year. Reason: Business Use / Historical Interest	Meridio Action: Close folder at end of Business Year. Review Instruction: Archive whole folder under ARC 3.02 CORPORATE MEETINGS /AUDIT COMMITTEE.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Convergence committee - restricted	Executive Director Finance & Governance	Retention Period: Archive 6 years after end of business year. Reason: Business Use / Historical Interest	Meridio Action: Close folder at end of Business Year. Review Instruction: Archive whole folder under ARC 3.02 CORPORATE MEETINGS
Corporate Meetings Governance	Executive Director of Finance and Governance	Retention Period: Destroy 6 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete folder.
Executive Team - Restricted	Managing Director	Retention Period: Archive 6 years after end of business year. Reason: Business Use / Historical Interest	Meridio Action: Close folder at end of Business Year. <i>Admin folder is actioned on part closure. Delete parts 6 years after automated closure.</i> Review Instruction: Archive whole folder under ARC 3.02 CORPORATE MEETINGS
Former Governance Groups	Executive Director of Finance and Governance	Retention Period: Archive 6 years after end of business year. Reason: Business Use / Historical Interest	Meridio Action: Close folder at end of Business Year. Review Instruction: Archive whole folder under ARC 3.02 CORPORATE MEETINGS
PHSO Board	Managing Director	Retention Period: Archive 6 years after end of business year. Reason: Business Use / Historical Interest	Meridio Action: Close folder at end of Business Year. <i>Admin folder is actioned on part closure. Delete parts 6 years after automated closure.</i> Review Instruction: Archive whole folder under ARC 3.02 CORPORATE MEETINGS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Remuneration Committee - Restricted	Executive Director of Finance and Governance	Retention Period: Archive 6 years after end of business year. Reason: Business Use / Historical Interest	Meridio Action: Close folder at end of Business Year. <i>Admin folder is actioned on part closure. Delete parts 6 years after automated closure.</i> Review Instruction: Archive whole folder under ARC 3.02 CORPORATE MEETINGS

1.03 MANAGEMENT / NETWORK MEETINGS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Various	Retention Period: Destroy 3 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete folder.

1.04 STRATEGIC AND BUSINESS PLANNING / BUSINESS INSIGHT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Business Insight	Executive Director External Affairs & Strategy	Retention Period: Destroy 3 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete folder.

1.04 STRATEGIC AND BUSINESS PLANNING / DIRECTORATE PLANS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Corporate Business Plans	Executive Director Finance & Governance	Retention Period: Archive final version of corporate business plan 3 years after end of business year, destroy everything else. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Move final Corporate Business Plan to Archive (ARC 3.03) then delete the folder.

1.04 STRATEGIC AND BUSINESS PLANNING / DIRECTORATE PLANS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Directorate Plans	Executive Director Finance & Governance	Retention Period: Destroy 3 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete folder.

1.04 STRATEGIC AND BUSINESS PLANNING / DIVISIONAL PLANS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Divisional Plans	Executive Director Finance & Governance	Retention Period: Archive final version of Divisional plans 3 years after end of business year, destroy everything else. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Move final Divisional Plans to Archive (ARC 3.03) then delete the folder.

1.04 STRATEGIC AND BUSINESS PLANNING / STRATEGIC AND BUSINESS PLAN ADMINISTRATION

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Strategic and Business Plan Administration (Annual folders)	Executive Director Finance & Governance	Retention Period: Destroy 3 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete folder.
Final Strategic Plans	Executive Director Finance & Governance	Retention Period: Review 3 years after end of business year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move final versions of Strategic Plan to the Archive (ARC 3.03). Delete Part.

1.05 CORPORATE PERFORMANCE MANAGEMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Corporate Performance Administration	Executive Director Finance & Governance	<p>Retention Period: Destroy if no longer required for business use 6 years after end of Business Year.</p> <p>Reason: Business Use</p>	<p>For parts: Meridio Action: Automatic Part closure at end of Business Year</p> <p>Review Instruction: Move any documents still being used to new Part. Delete Part.</p> <p>For folders: Meridio Action: Close folder at end of Business Year.</p> <p>Review Instruction: Delete Folder</p>

1.06 RISK AND AUDIT / FRAUD

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Fraud Investigation	Executive Director of Finance and Governance	<p>Retention Period: Destroy 6 years after end of fraud case.</p> <p>Reason: Limitations Act, 1980</p>	<p>Meridio Action: Close folder at end of fraud case.</p> <p>Review Instruction: Delete Folder</p>

1.06 RISK AND AUDIT / INTERNAL AUDIT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Internal Audit	Executive Director of Finance and Governance	Retention Period: Archive 6 years after completion of Internal Audit Report. Reason: Limitations Act 1980 / Historical Interest	Meridio Action: Close folder when Internal Audit Report complete. Review Instruction: Archive Folder

1.06 RISK AND AUDIT / RISK MANAGEMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Executive Director of Finance and Governance	Retention Period: Destroy if no longer required for business use 6 years after end of Business Year. Reason: Business Use	For parts: Meridio Action: Automatic Part closure at end of Business Year Review Instruction: Move any documents still being used to new Part. Delete Part. For folders: Meridio Action: Close folder at end of Business Year. Review Instruction: Delete Folder

1.07 APPROVED STRATEGIES, POLICY AND GUIDANCE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Business Policy and Guidance	Executive Director of Finance and Governance	<p>Retention Period: Archive policy or guidance when superseded or obsolete.</p> <p>Reason: Business Use / Health and Safety at Work Act 1974 / Historical Interest</p>	<p>Meridio Action: None</p> <p>Review Instruction: Relocate superseded or obsolete policies and guidance to the Archive (ARC 7)</p>
Casework Policy and Guidance	Director of Investigations	<p>Retention Period: Archive policy or guidance when superseded or obsolete.</p> <p>Reason: Business Use / Historical Interest</p>	<p>Meridio Action: None</p> <p>Review Instruction: Relocate superseded or obsolete policies and guidance to the Archive: ARC 1.04 / ARC - POST 2003 CP&G</p>
Corporate Strategies	Executive Director of Finance and Governance	<p>Retention Period: Archive strategy when superseded or obsolete.</p> <p>Reason: Business Use / Historical Interest</p>	<p>Meridio Action: None</p> <p>Review Instruction: Relocate superseded or obsolete policies and guidance to the Archive (ARC 7)</p>
Financial Policy and Guidance	Executive Director Finance & Governance	<p>Retention Period: Archive policy or guidance when superseded or obsolete.</p> <p>Reason: Business Use / Historical Interest</p>	<p>Meridio Action: None</p> <p>Review Instruction: Relocate superseded or obsolete policies and guidance to the Archive (ARC 7)</p>

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
HR Policy and Guidance	Director of HR, People & Talent	Retention Period: Archive guidance when superseded or obsolete. Reason: Business Use / Historical Interest	Meridio Action: None Review Instruction: Relocate superseded or obsolete policies and guidance to the Archive (ARC 7)
PHSO Register of Policies	Executive Director of Finance and Governance	Retention Period: Archive register when superseded or obsolete. Reason: Business Use / Historical Interest	Meridio Action: None Review Instruction: Relocate superseded or obsolete policies and guidance to the Archive (ARC 7)

Section 2: Resource Management

Description of assets:

Resource management contains assets relating to accounting, the capital investment strategy development, the management of capital resources financial strategy, policy and guidance development, non-current assets, procurement, resource accounts, tax, national insurance and VST and parliamentary funding settlements.

The assets set out how PHSO manages its financial and capital resources. It includes records relating to all accounting activities such as cash management and banking, budget reviews and financial monitoring as well as to individual procurement activities completed to procure goods and services for PHSO.

Some of the assets in this section contain sensitive corporate information such as costs of procurements or spending within PHSO as well as personal data as there will be records relating to the tax, national insurance and VAT for associate caseworkers and some employees.

FMI (Financial Management Information)

FMI is a financial software package which manages the general ledger. PHSO uses Excel as the host interface and access is restricted to budget holders and budget administrators. While PHSO uses Excel as the host interface, it is not compatible with Meridio while it is being updated because it does not support the interactive functionality of the software. All FMI information is therefore saved on the Z: drive in organised annual folders. Once the information is finalised and no further changes will be made, the spread sheets can be moved into Meridio.

Information Asset Owner: Executive Director Finance & Governance

Information Asset(s)	Data collected	Retention Period and Reason	Retention and Disposal Action
FMI Information	Budget information	Retention Period: Destroy 6 years after end of financial year Reason: Business Use	Finance Team: Move spread sheets to annual folders in 9.03 when complete. Finance SIMA: Close annual finance folders at end of financial year. Delete information 6 years after folder closure.

2.01 ACCOUNTING

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Executive Director Finance & Governance	Retention Period: Destroy 6 years after end of Financial Year. Reason: Taxes Management Act, 1970	Meridio Action: Close folders at end of Financial Year Review Instruction: Delete folders.

2.02 CAPITAL INVESTMENT STRATEGY DEVELOPMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Capital Investment Development	Executive Director Finance & Governance	Retention Period: Destroy 6 years after completion of Capital Investment Strategy. Reason: Business Use	Meridio Action: Close folder at end of covering period for the Capital Investment Strategy. Review Instruction: Delete folders.

2.03 FINANCIAL BUDGETING AND REPORTING

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Executive Director Finance & Governance	Retention Period: Destroy 6 years after end of Financial Year. Reason: Business Use	Meridio Action: Close folders at end of Financial Year Review Instruction: Delete folders.

2.04 FINANCIAL POLICY AND GUIDANCE DEVELOPMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Executive Director Finance & Governance	Retention Period: Destroy 6 years after end of Financial Year. Reason: Taxes Management Act, 1970	Meridio Action: Automatic Part closure at end of Financial Year. Review Instruction: Delete part.

2.05 FINANCIAL STRATEGY DEVELOPMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Executive Director Finance & Governance	Retention Period: Destroy 6 years after end of Financial Strategy. Reason: Business Use	Meridio Action: Close folders when Financial Strategy period complete, or at end of financial year. Review Instruction: Delete folder.

2.06 NON-CURRENT ASSETS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Executive Director Finance & Governance	Retention Period: Destroy 6 years after end of Financial Year. Reason: Taxes Management Act 1970, Limitations Act 1980	Meridio Action: Close folders at end of financial year. Review Instruction: Delete folder.

2.07 PROCUREMENT MANAGEMENT / CONTRACT MANAGEMENT - ASSOCIATE CASEWORKERS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Associate Caseworker contracts (annual contracts)	Director of Investigations	Retention Period: Destroy 6 years after end of Financial Year. Reason: Limitations Act, 1980	Meridio Action: Close folders at end of financial year. Review Instruction: Delete folder.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
SharePoint: PPBM	Executive Director Finance & Governance Legal Adviser	Retention Period: Destroy 7 years after end of contract. Reason: Limitations Act, 1980	Review Instruction: Delete list item(s).

2.07 PROCUREMENT MANAGEMENT / CONTRACT MANAGEMENT - CLINICAL ADVICE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Associate Contracts (annual); Associate Contract Claim Forms; EPA Contracts (annual)	Director of Complex Investigations	Retention Period: Destroy 6 years after end of financial year. Reason: Limitations Act, 1980	Meridio Action: Close folders at end of Financial Year Review Instruction: Delete folders.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Clinical Advice Contract Templates	Director of Complex Investigations	Retention Period: Destroy if no longer required for business use 6 years after end of Financial Year. Reason: Limitations Act, 1980	Meridio Action: Automatic Part closure at end of Financial Year. Review Instruction: Move any documents still required as part of the contract to new Part. Delete Part.

2.07 PROCUREMENT MANAGEMENT / CONTRACT MANAGEMENT - FACILITIES

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 7 years after end of Financial Year. Reason: Limitations Act, 1980	Meridio Action: Automatic Part closure at end of Financial Year. Review Instruction: Move any documents still required as part of the contract to new Part. Delete Part.

2.07 PROCUREMENT MANAGEMENT / CONTRACT MANAGEMENT - LEARNING AND RESOURCE CENTRE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
LRC Subscriptions and Purchases (Annual folders)	Executive Director External Affairs & Strategy	Retention Period: Delete 6 years after end of Financial Year. Reason: Limitations Act, 1980	Meridio Action: Close folders at end of financial year. Review Instruction: Delete folder.

2.07 PROCUREMENT MANAGEMENT / CONTRACT MANAGEMENT - NON-EXECUTIVES

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Non-executive 'personal' files	Managing Director	Retention Period: Destroy 6 years after non-exec leaves. Reason: Limitations Act, 1980	Meridio Action: Close folder when non-exec leaves. Review Instruction: Delete

2.07 PROCUREMENT MANAGEMENT / CONTRACT MANAGEMENT - TNT PHYSICAL STORAGE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Director of Quality & Service Integrity	Retention Period: Destroy 6 years after end of financial year. Reason: Business Use	Meridio Action: Close folders at end of Financial Year Review Instruction: Delete folders.

2.07 PROCUREMENT MANAGEMENT / GPC MANAGEMENT

Information Assets	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Executive Director Finance & Governance	Retention Period: Destroy if no longer required for business use 7 years after end of Financial Year. Reason: Taxes Management Act, 1970, Limitations Act, 1980, Business Use	Meridio Action: Automatic Part closure at end of Financial Year. Review Instruction: Move any documents still required as part of the contract to new Part. Delete Part.

2.07 PROCUREMENT MANAGEMENT / PPBM ADVICE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Individual folders per team that Procurement provide advice for	Executive Director Finance & Governance	Retention Period: Destroy if no longer required for business use 7 years after end of Financial Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Financial Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

2.07 PROCUREMENT MANAGEMENT / PPBM BUSINESS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Executive Director Finance & Governance	Retention Period: Destroy if no longer required for business use 7 years after end of Financial Year. Reason: Business Use; Taxes Management Act, 1970	Meridio Action: Automatic Part closure at end of Financial Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

2.07 PROCUREMENT MANAGEMENT / PROCUREMENTS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Executive Director Finance & Governance	Retention Period: Destroy 7 years after end of contract. Reason: Limitations Act, 1980	Meridio Action: Close folder(s) when contract expires. Review Instruction: Delete folder(s).

2.07 PROCUREMENT MANAGEMENT / PURCHASING

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Non-PR Business Cases	Executive Director Finance & Governance	Retention Period: Destroy 6 years after end of financial year Reason: Business Use	Meridio Action: Automatic Part closure at end of Financial Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
Director's Taxable Benefits Electronic Invoices; Finance Code and Mandates; Interim Staff; Prompt Payments; Purchase Orders; Purchase Requisitions; Purchasing Administration	Executive Director Finance & Governance	Retention Period: Destroy 6 years after end of financial year Reason: Taxes Management Act, 1970; Limitations Act 1980; business use	Meridio Action: Close folder at end of financial year. Review Instruction: Delete folder.

2.07 PROCUREMENT MANAGEMENT / STATIONERY

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Executive Director Finance & Governance	Retention Period: Destroy if no longer required for business use 6 years after end of Financial Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Financial Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

2.07 PROCUREMENT MANAGEMENT / TRAVEL

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Executive Director Finance & Governance	Retention Period: Destroy 6 years after end of Financial Year. Reason: Taxes Management Act, 1980	Meridio Action: Close folder at end of financial year. Review Instruction: Delete folder.

2.08 RESOURCE ACCOUNTS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Resource Accounts (Annual Classes)	Executive Director Finance & Governance	Retention Period: Destroy 6 years after end of Resource Account year. Reason: Taxes Management Act 1970	Meridio Action: Close folder at end of financial year. Review Instruction: Delete folder.

2.09 TAX, NATIONAL INSURANCE AND VAT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Executive Director Finance & Governance	Retention Period: Destroy if no longer required for business use 6 years after end of Financial Year. Reason: Taxes Management Act, 1970	Meridio Action: Automatic Part closure at end of Financial Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

2.10 TRANSACTIONS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
General Ledger Download	Executive Director Finance & Governance	Retention Period: Destroy 6 years after end of Financial Year. Reason: Taxes Management Act, 1970	Meridio Action: Automatic Part closure at end of Financial Year. Review Instruction: Delete Part.

2.11 PARLIAMENTARY FUNDING SETTLEMENTS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Settlement	Executive Director Finance & Governance	Retention Period: Destroy 6 years after end of Financial Settlement period. Reason: Business Use	Meridio Action: Close folder when financial settlement period complete. Review Instruction: Delete Folder.

2.12 PARLIAMENTARY ESTIMATES

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Parliamentary Estimates (Annual Folders)	Executive Director Finance & Governance	Retention Period: Destroy 6 years after end of Parliamentary Estimate period. Reason: Business Use	Meridio Action: Close folder when Parliamentary Estimate period complete. Review Instruction: Delete Folder.
Parliamentary Estimates Guidance	Executive Director Finance & Governance	Retention Period: Destroy if no longer required for business use 6 years after end of Financial Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Financial Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

Section 3: Estate Management and Business Security

Description of assets:

The estate management and business security section contains assets relating to accommodation and facilities, health and safety, business security and business continuity.

The assets set out how PHSO manages its premises and facilities, the physical risks to staff whilst at work, the risks to PHSO business premises, facilities and protectively marked documents and records and the management of risks to PHSO's continued operation in the event of a disaster.

Some of the assets in this section contain personal data such as security incidents, risk assessments or security vetting. Other assets will contain sensitive corporate information such as those in relation to the business continuity alert system or electronic battlebox.

3.01 ACCOMMODATION AND FACILITIES

Management of PHSO's premises and facilities

3.01 ACCOMMODATION AND FACILITIES / ACCOMMODATION MANAGEMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of HR, People & Talent	Retention Period: Delete 6 years after end of contract. Reason: Business Use	Meridio Action: Close folder when contract ceases. Review Instruction: Delete Folder.

3.01 ACCOMMODATION AND FACILITIES / ACCOMMODATION STRATEGY DEVELOPMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of HR, People & Talent	Retention Period: Delete 7 years after end of Accommodation Strategy period complete. Reason: Business Use	Meridio Action: Close folder(s) when Accommodation Strategy period complete. Review Instruction: Delete Folder.

3.01 ACCOMMODATION AND FACILITIES / ENVIRONMENTAL ISSUES

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 7 years after end of Financial Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

3.01 ACCOMMODATION AND FACILITIES / FACILITIES GENERAL MANAGEMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 7 years after end of Financial Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

3.01 ACCOMMODATION AND FACILITIES / HOUSE COMMITTEE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
House Committee Administration	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
Millbank Tower House Committee; The Exchange House Committee (Annual Folders)	Director of HR, People & Talent	Retention Period: Destroy 3 years after end of Business Year. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete Folder.

3.02 HEALTH AND SAFETY

3.02 HEALTH AND SAFETY / ACCIDENT REPORTS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Accident Reports (Annual Folders)	Director of HR, People & Talent	Retention Period: Destroy 5 years after end of Business Year. Reason: Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR); Social Security (Claims and Payments) regulations 1979; business use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete Folder.

3.02 HEALTH AND SAFETY / FIRE AND FIRST AID

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 5 years after end of Business Year. Reason: Health and Safety at Work Act 1974	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

3.02 HEALTH AND SAFETY / HEALTH AND SAFETY AUDITS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Health and Safety Audits (Annual Folders)	Director of HR, People & Talent	Retention Period: Destroy 5 years after completion of audit. Reason: Business Use	Meridio Action: Close folder on completion of audit. Review Instruction: Delete Folder.

3.02 HEALTH AND SAFETY / HEALTH AND SAFETY COMMITTEE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Health and Safety Committee	Director of HR, People & Talent	Retention Period: Destroy 6 years after end of Business Year. Reason: Safety Representatives and Safety Committee Regulations 1977 /Health and Safety (Consultation with Employees) Regulations 1996	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete Folder.
Health and Safety Committee Administration	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 5 years after end of Business Year. Reason: Safety Representatives and Safety Committee Regulations 1977 /Health and Safety (Consultation with Employees) Regulations 1996	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

3.02 HEALTH AND SAFETY / HEALTH AND SAFETY GENERAL

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 5 years after end of Business Year. Reason: Management of Health and Safety at Work Regulations 1999	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

3.02 HEALTH AND SAFETY / RISK ASSESSMENTS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Risk Assessments - Administration	Director of HR, People & Talent	<p>Retention Period: Destroy if no longer required for business use 5 years after end of Business Year.</p> <p>Reason: Control of Asbestos at Work Regulations 2002</p>	<p>Meridio Action: Automatic Part closure at end of Business Year.</p> <p>Review Instruction: Move any documents still being used to new Part. Delete Part.</p>
Risk Assessments - General	Director of HR, People & Talent	<p>Retention Period: Destroy if no longer required for business use 5 years after end of Business Year.</p> <p>Reason: Regulatory Reform (Fire Safety) Order 2005</p>	<p>Meridio Action: Automatic Part closure at end of Business Year.</p> <p>Review Instruction: Move any documents still being used to new Part. Delete Part.</p>
Risk Assessments - Staff	Director of HR, People & Talent	<p>Retention Period: Destroy 5 years after staff member leaves.</p> <p>Reason: Management of Health and Safety at Work Regulations 1999</p>	<p>Meridio Action: Close folder when staff member leaves.</p> <p>Review Instruction: Delete</p>

3.02 HEALTH AND SAFETY / TESTING

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Air Quality Testing	Director of HR, People & Talent	<p>Retention Period: Destroy if no longer required for business use 5 years after end of Business Year.</p> <p>Reason: Management of Health and Safety at Work Regulations 1999 / Control of Substances Hazardous to Health Regulations 2002</p>	<p>Meridio Action: Automatic Part closure at end of Business Year.</p> <p>Review Instruction: Move any documents still being used to new Part. Delete Part.</p>
Electrical Testing	Director of HR, People & Talent	<p>Retention Period: Destroy if no longer required for business use 5 years after end of Business Year.</p> <p>Reason: Management of Health and Safety at Work Regulations 1999</p>	<p>Meridio Action: Automatic Part closure at end of Business Year.</p> <p>Review Instruction: Move any documents still being used to new Part. Delete Part.</p>
Water Testing	Director of HR, People & Talent	<p>Retention Period: Destroy if no longer required for business use 5 years after end of Business Year.</p> <p>Reason: Management of Health and Safety at Work Regulations 1999 / Control of Substances Hazardous to Health Regulations 2002</p>	<p>Meridio Action: Automatic Part closure at end of Business Year.</p> <p>Review Instruction: Move any documents still being used to new Part. Delete Part.</p>

3.03 BUSINESS SECURITY

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Director of HR, People & Talent	Retention Period: Destroy 5 years after end of Business Year. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete Folder.

3.04 BUSINESS CONTINUITY / BUSINESS CONTINUITY MEETINGS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of HR, People & Talent	Retention Period: Destroy 5 years after end of Business Year. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete Folder.

3.04 BUSINESS CONTINUITY / BUSINESS CONTINUITY PLANNING AND PROCEDURES

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 5 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

3.04 BUSINESS CONTINUITY / BUSINESS CONTINUITY REVIEWS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Business Continuity Reviews	Director of HR, People & Talent	Retention Period: Destroy 5 years after completion of Business Continuity Review. Reason: Business Use	Meridio Action: Close folder on completion of Business Continuity Review. Review Instruction: Delete Folder.

3.04 BUSINESS CONTINUITY / DISASTER RECOVERY

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 5 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

Section 4: Casework

Description of assets:

The casework section contains assets relating to legislation and jurisdiction, casework advice, learning, policy and guidance development, quality, litigation, ombudsman's casework and panels. This section also contains all records relating to PHSO's casework which are held, currently, within Visualfiles.

The assets set out how PHSO learns from its complaints, including capturing advice given across a range of themes and subjects, casework knowledge and information management, departmental briefings and quality reviews. They also contain information about PHSO's jurisdiction and the review of legislation affecting this. The final set of assets in this section relates to legal actions arising from casework or where PHSO is an interested party.

As this section includes individual's casework records, the majority of records in this section do contain a high level of personal data. The assets which will contain sensitive corporate and personal data relate to judicial reviews and casework litigation.

VISUALFILES AND HARDCOPY CASE FILES

4.01 - CASEWORK / VISUALFILES CONTENT

Information Asset Owner: Executive Director of Operations and Investigations

Overview and Background Information

All case file documents (paper and electronic) are retained for one year after a case has closed. One year has been selected as a suitable length of time to ensure that it meets business needs and for complainants to return to us under the Human Rights Act for a review. At one year, most of the case file is destroyed, with the exception of Final Investigation Reports and Case Data. Cases which demonstrate long-term historical value and wider application (HIWA) must be brought to the attention of the IRM team.

Definitions

Case Closure

- When a case is formally closed by a caseworker.
- If a case returns to us (i.e. the original case was premature) the cases must be recorded as 'connected' to ensure the closure date for both cases will be the date of the most recent case.
- If a customer submits an FOI or Subject Access Request on a case, it must be recorded as 'connected' to ensure the closure date of the original complaint case is the same as the FOI/SAR case.
- If a case goes to Review (internal or judicial) a hold must be requested to ensure the case is not destroyed too early. This hold must be released when the case is closed after the review.

Holds

On rare occasions 'holds' can be applied to cases to postpone the disposal of the case. A hold can only be applied for the following reasons:

- A Judicial Review
- A FOI/SAR request
- Request for a review of our decision
- A Select Committee Inquiry

A hold will be placed on the case file for 6 months, at which point it must be reviewed and released, or retained for a further 6 months. Once the hold has been released the date of case closure will apply as usual.

Potential historical importance and wider application cases

Cases which fall into the HIWA criteria may be suitable for permanent preservation in PHSO's archive. Investigators are responsible for applying a hold to such cases.

HIWA criteria:

- High risk cases (e.g. Whistleblowing)
- High profile cases that are featured in PHSO campaigns or publications (except the Annual Report or summaries)
- Systemic cases (e.g. Avoidable Death)
- Strategic cases (those with significant impact e.g. Six Lives)

One year from case closure			
Case file type	Format	Disposal Instruction	Disposal Decision Justification
Cases selected as Historical Interest and Wider Application (HIWA)	Electronic and Paper	Cases which meet the HIWA criteria will be permanently retained (following weeding) in the Archive.	Data Protection Act 1998, Section 33 'Research, history and statistics'
Case files that have not been selected HIWA	Electronic and Paper	<p>Final adjudication (Final Investigation Report and, where relevant, overturned review decision) is archived by the Investigator, or BSO. Original paper case file is destroyed. History items from Visualfiles are destroyed. Basic Visualfiles case data is retained:</p> <ul style="list-style-type: none"> • Case number • Name of complainant • Key words • Body complained about • Date opened • Date closed • Case outcome closure code • Complainant addresses and postcodes; and any aggrieved person/s 	Data Protection Act 1998, principle 5
Case files where case is upheld, and a policy or procedural change is made by the body	Electronic and Paper	As above, but additionally the compliance of our recommendations letter from the body and the closing letter are archived by the Investigator, or BSO.	Data Protection Act 1998, principle 5

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Home Office Watchlist Cases (Restricted)	Executive Director of Operations and Investigations	Retention Period: Review 2 years after folder closure. Archive historical records permanently. Reason: Business Use	Meridio Action: Automatic Part closure at end of business year. Review Instruction: Move any documents required for permanent preservation to the Archive. Delete Part.
Individual Cases	Executive Director of Operations and Investigations	Retention Period: Apply casework retention and disposal 1 year after case completed. Reason: Business Use	Meridio Action: Close folder on completion of case. Review Instruction: Apply casework retention and disposal and delete folder.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
SharePoint: Legal Services	Legal Adviser	Retention Period: As above; destroy 1 year after closure of case. Reason: Business Use	Review Instruction: Delete list item.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Physical copies of correspondence received by the Customer Care Team	Director of Customer Services	Retention Period: Return originals immediately; retain copies for duration of case. Reason: Business Use	Review Instruction: Once successfully scanned, return original documents (e.g. birth certificate, x-rays, etc.) to sender. Retain other physical documents until case is closed or transferred, and then destroy.

4.02 LEGISLATION AND JURISDICTION

4.02 LEGISLATION AND JURISDICTION / ANNUAL JURISDICTION REVIEWS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Jurisdiction Reviews	Legal Adviser	Retention Period: Archive 6 years after completion of Jurisdiction Review. Reason: Business Use / Historical Interest	Meridio Action: Close folder on completion of Jurisdiction Review. Review Instruction: Archive whole folder.

4.02 LEGISLATION AND JURISDICTION / PHSO AND ASSOCIATED LEGISLATION

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Legal Adviser	Retention Period: Destroy if no longer required for business use 6 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

4.02 LEGISLATION AND JURISDICTION / REPT DH

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
REPT DH (Annual Folders)	Legal Adviser	Retention Period: Destroy 6 years after end of Business Year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete

4.03 CASEWORK ADVICE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Clinical Advice	Director of Complex Investigations	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
Legal Advice on Cross-Cutting Matters; Legal Advice on HSC Act Matters; Legal Advice on PC Act Matters; Other Professional Advice	Legal Adviser	Retention Period: Destroy if no longer required for business use 6 years after end of Calendar Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of calendar year. Review Instruction: Move any documents still being used to new Part. Delete Part.

4.04 CASEWORK LEARNING

Information relating to knowledge gathered from cases handled

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
SharePoint: Casework Learning	Director of Quality & Service Integrity	Retention Period: Destroy when reference ceases. Reason: Business Use	Review Instruction: Review every 6 months; remove when superseded or no longer required.

4.04 CASEWORK LEARNING / CAPTURING CASEWORK LEARNING

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Capturing Casework Learning (annual folders)	Executive Director of Operations and Investigations	Retention Period: Destroy 3 years after end of Business Year. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete Folder.
Casework Keywords and Themes; Casework processes and information	Executive Director of Operations and Investigations	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of business year. Review Instruction: Move any documents still being used to new Part. Delete Part.
NHS Review 2013 (Francis Report)	Director of Quality & Service Integrity	Retention Period: Destroy 3 years after end of Business Year. Reason: Business Use	Meridio Action: Close folder at end of Review Review Instruction: Delete Folder.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Review Team Lessons Learnt (annual folders)	Legal Adviser	Retention Period: Destroy 3 years after end of Business Year. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete Folder.
Sharing Learning (annual folders)	Director of Quality & Service Integrity	Retention Period: Destroy 3 years after end of Business Year. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete Folder.

4.04 CASEWORK LEARNING / CASEWORK CONFERENCE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Casework Conferences (One folder per conference)	Executive Director of Operations and Investigations	Retention Period: Destroy 3 years after end of conference. Reason: Business Use	Meridio Action: Close folder at end of conference. Review Instruction: Delete Folder.

4.04 CASEWORK LEARNING / CASEWORK LIBRARIES

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of Customer Services	Retention Period: Destroy if no longer required for business use 3 years after end of Calendar Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of calendar year. Review Instruction: Move any documents still being used to new Part. Delete Part.

4.04 CASEWORK LEARNING / CASEWORK NEWS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Executive Director of Operations and Investigations	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of business year. Review Instruction: Move any documents still being used to new Part. Delete Part.

4.05 CASEWORK POLICY AND GUIDANCE / CASEWORK GUIDANCE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Executive Director of Operations and Investigations	Retention Period: Destroy if no longer required for business use 3 years after end of Calendar Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of calendar year. Review Instruction: Move any documents still being used to new Part. Delete Part.

4.05 CASEWORK POLICY AND GUIDANCE / CASEWORK POLICY DEVELOPMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Executive Director of Operations and Investigations	Retention Period: Destroy 3 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete Folder.

4.06 CASEWORK QUALITY

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
SharePoint: QA Form - Line Manager QA	Director of Quality & Service Integrity	Retention Period: Destroy 1 year after end of business year. Reason: Business Use	Review Instruction: Delete list item.
SharePoint: QA Form - Audit QA	Director of Quality & Service Integrity	Retention Period: Destroy 3 months after completion of report. Reason: Business Use	Review Instruction: Delete list item.
SharePoint: Customer Services Call Scores	Director of Customer Services	Retention Period: Destroy 15 months after scoring exercise. Reason: Business Use	Review Instruction: Delete list item.

4.06 CASEWORK QUALITY / CASEWORK COMPLIANCE AND MONITORING

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Casework Compliance and Monitoring (Annual Classes)	Director of Investigations	Retention Period: Destroy 3 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete Folder.

4.06 CASEWORK QUALITY / CASEWORK RISK ASSURANCE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Casework Risk Assurance	Director of Quality & Service Integrity	Retention Period: Destroy 3 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete Folder.

4.06 CASEWORK QUALITY / CLINICAL ADVICE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
SharePoint: Clinical Advice Directorate	Director of Complex Investigations	Retention Period: Destroy when reference ceases. Reason: Business Use	Review Instruction: Review directory every 6 months; remove when superseded or no longer required.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of Complex Investigations	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of business year. Review Instruction: Move any documents still being used to new Part. Delete Part.

4.06 CASEWORK QUALITY / OPERATING MODEL

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of Quality & Service Integrity	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of business year. Review Instruction: Move any documents still being used to new Part. Delete Part.

4.06 CASEWORK QUALITY / QUALITY FRAMEWORK

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Director of Quality & Service Integrity	Retention Period: Destroy 3 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete Folder.

4.06 CASEWORK QUALITY / REMEDY ISSUES

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Remedy issues (Annual folders)	Director of Quality & Service Integrity	Retention Period: Destroy 3 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete Folder.

4.06 CASEWORK QUALITY / TYPOLOGY OF INJUSTICE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Director of Quality & Service Integrity	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of business year. Review Instruction: Move any documents still being used to new Part. Delete Part.

4.07 CASEWORK LITIGATION

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Casework Litigation Administration	Legal Adviser	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of business year. Review Instruction: Move any documents still being used to new Part. Delete Part.
Instructions to Lawyer or Counsel; Judgments	Legal Adviser	Retention Period: Destroy if no longer required for business use 7 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of business year. Review Instruction: Move any documents still being used to new Part. Delete Part.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Judicial Reviews - Closed Cases	Legal Adviser	Retention Period: Review 7 years after end Judicial Review case closed. Archive historical records permanently. Reason: Business Use/ Historical Interest	Meridio Action: Close folder when Judicial Review case closed. Review Instruction: Move any records required for permanent preservation to the Archive, Delete the Folder.
Judicial Reviews - interested party - current cases; Judicial Reviews - PHSO Defendant - current	Legal Adviser	Retention Period: Review 7 years after end Judicial Review case closed. Archive historical records permanently. Reason: Business Use	Meridio Action: Relocate folder to 'closed cases' class when Judicial Review case complete.
Non PHSO cases with PHSO involvement	Legal Adviser	Retention Period: Review 7 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of business year. Review Instruction: Move any documents required for permanent preservation to the Archive. Delete Part.
Non-judicial review casework litigation	Legal Adviser	Retention Period: Review 7 years after end of non-Judicial Review casework case closed. Archive historical records permanently. Reason: Business Use	Meridio Action: Close folder when non-Judicial Review casework case closed. Review Instruction: Delete any documents no longer required, move folder to the Archive.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Possible judicial reviews	Legal Adviser	Retention Period: Review 7 years after end possible Judicial Review case closed. Archive historical records permanently. Reason: Business Use	Meridio Action: Close folder when possible Judicial Review casework case is closed. Review Instruction: Delete any documents no longer required, move folder to the Archive.

4.08 OMBUDSMAN'S CASEWORK

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Corporate Casework Meetings	Executive Director of Operations and Investigations	Retention Period: Review 3 years after end of Business Year. Archive historical records permanently. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Move any documents required for permanent preservation to the Archive. Delete rest of folder.
High Risk Casework Meetings; Old Corporate Casework Meetings; Strategic Casework Meetings	Executive Director of Operations and Investigations	Retention Period: Review 3 years after end of Business Year. Archive historical records permanently. Reason: Business Use	Meridio Action: Automatic Part closure at end of business year. Review Instruction: Move any documents required for permanent preservation to the Archive. Delete Part.

4.09 CASEWORK PANELS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Assessment Panel Administration	Executive Director of Operations and Investigations	Retention Period: Destroy if no longer required for business use 2 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
Assessment Panel Meeting; Casework Discussion Meeting; Recommendations and Outcomes Panel Administration (Annual Folders)	Executive Director of Operations and Investigations	Retention Period: Destroy 2 years after end of Business Year. Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete folder

4.10 POST-2 YEAR REVIEW CASEWORK

4.10 POST-2 YEAR REVIEW CASEWORK / ONGOING CORRESPONDENCE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Equitable Life Correspondence	Executive Director of Operations and Investigations	Retention Period: Review 2 years after end of Equitable Life Case. Reason: Business Use	Meridio Action: Close folder when Equitable Life closed. Review Instruction: Move any documents required for permanent preservation to the Archive. Delete folder.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Ongoing Correspondence	Executive Director of Operations and Investigations	Retention Period: Destroy if no longer required for business use 2 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

4.10 POST-2 YEAR REVIEW / RETAINED MATERIAL

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Retained material from Reviewed Case files	Director of Quality & Service Integrity	Retention Period: Apply Casework Retention Period. Reason: Business Use	Meridio Action: IRM select appropriate 'Document Category' with retention period applied. Review Instruction: Move any documents required for permanent preservation to the Archive. Destroy other documents.

4.11 JOINT WORKING

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of Continuing Care & Joint Working	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

4.12 CASEWORK COMPLEX CASES

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of Complex Investigations	Retention Period: Destroy if no longer required for business use 7 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

DOCUMENTS ON THE PHSO WEBSITE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Case Summaries	Executive Director of Operations and Investigations	Retention Period: Destroy after 27 months. Reason: Business Use	Review Instruction: Remove documents from website and delete.
FOI Disclosure log	Legal Adviser	Retention Period: Destroy when reference ceases. Reason: Business Use	Review Instruction: Review log every 6 months; remove when superseded or no longer required.

Section 5: Change Management

Description of assets:

The section on Change Management contains assets relating to projects or initiatives to manage change within PHSO.

In terms of Peoples Projects and Programmes, the assets contain records relating to quality and diversity projects, pay projects and learning and development. It is likely these projects will contain personal data, some of which may be sensitive.

The KIM assets include records of projects and their associated boards relating to changes in information management across PHSO. It is unlikely that any of the assets in this section contain personal data.

The Governance and Strategy assets relate to projects held at corporate/directorate level involving change to strategy, or short term projects relating to governance issues.

Operations and Investigations Projects are concerned mostly with improving standards in casework.

External Affairs projects are concerned with external involvement in improving the complaints system, Ombudsman reform and working with Parliament and Health bodies to implement change.

05 CHANGE MANAGEMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Peoples projects and programmes	Director of HR, People & Talent	Retention Period: Destroy 3 years after end of the project. Reason: Business Use	Meridio Action: Close folders at end of the project. Review Instruction: Delete folder.
Knowledge and Information Management Projects and Programmes	Director of Quality & Service Integrity	Retention Period: Destroy 3 years after end of the project. Reason: Business Use	Meridio Action: Close folders at end of the project. Review Instruction: Delete folder.
Governance and Strategy Projects and Programmes	Executive Director of Finance and Governance	Retention Period: Destroy 3 years after end of the project. Reason: Business Use	Meridio Action: Close folders at end of the project. Review Instruction: Delete folder.
Operations and Investigations Projects and Programmes	Executive Director of Finance and Governance	Retention Period: Destroy 3 years after end of the project. Reason: Business Use	Meridio Action: Close folders at end of the project. Review Instruction: Delete folder.
External Affairs Projects and Programmes	Executive Director External Affairs & Strategy	Retention Period: Destroy 3 years after end of the project. Reason: Business Use	Meridio Action: Close folders at end of the project. Review Instruction: Delete folder.

Project sites stored in the G: Drive, SharePoint, Ombudsnet or any other system are to be deleted 3 years after end of the project.

Section 6: People Management and Development

Description of assets:

The section on People Management and Development relates to the way in which PHSO manages and develops staff. It contains assets relating to employee files, employee relations, HR Policy and Guidance, internal communication, investors in people, learning and development, payroll and pensions and recruitment and selection.

Given the nature of the assets, there is a large amount of personal data contained within this section, particularly within employee files and payroll and pensions. Others do not contain personal or sensitive corporate data, such as internal communications and learning and development.

6.01 EMPLOYEE FILES

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Employee A-Z	Director of HR, People & Talent	<p>Retention Period: Move to Ex-Employees Class below when employee resigns.</p> <p>Reason: Pension Administration</p>	<p>Meridio Action: Add employee's date of birth to Class metadata when setting folders up.</p> <p>Review Instruction: N/A (see Ex-Employees)</p>
Ex-Employees	Director of HR, People & Talent	<p>Retention Period: Review 6 years after leaving organisation. Destroy 100 years from employee's date of birth.</p> <p>Reason: Pension Administration</p>	<p>Meridio Action: Close folders when employee leaves.</p> <p>Review Instruction: At 6 year review, remove/delete ephemeral data and documents, destroy disciplinary documents (unless linked to pay/pension). At 100 years delete/destroy all data and documents.</p>

HR PRO DATABASE

The HR Pro Database stores employee file-related information, such as addresses, pay details, course attendance, and leave and sickness records. It contains a significant number of personal details which need to be carefully managed through regular updating and disposal. The table below lists the types of data stored and the retention and disposal schedule for the data.

Information Asset Owner: Director of HR, People & Talent

Information Asset(s)	Data collected	Retention Period and Reason	Retention and Disposal Action
Employee Contact Details	Name Home Address Email Address Next of Kin Phone numbers	Retention Period: For as long as required (keep updated) Reason: Business Use	Members of staff are encouraged to update details as and when they change. HR send an annual reminder for staff to check their personal data in HR Pro
Pay and Pension information	Bank details Grade Salary	Retention Period: Destroy 100 years from employee's date of birth. Reason: Pensions Administration	Delete data from database
General information	Staff Leave, Absence, Courses attended	Retention Period: For as long as required (keep updated) Reason: Business Use	Review 6 years after the member of staff has left the organisation and delete.

6.02 ORGANISATION DEVELOPMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Employee Engagement	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 7 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
OD - Resources	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
People Strategy; People Survey	Director of HR, People & Talent	Retention Period: Archive final report 5 years after end of strategy; Destroy remainder. Reason: Business Use	Meridio Action: Close folder at end of People strategy. Review Instruction: Move final report to the Archive. Delete folder.

6.03 EMPLOYEE RELATIONS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Absence Management; Childcare Voucher Scheme; Clinical Advice (Employee Relations); Contract issues; Disability; Employee Relations - Advice; Employee Relations - Leave; Equality and Diversity (Employee Relations); Family Leave; Flexible Working Administration; Healthy Workforce; Job Evaluations (JE); Keeping in Touch; Leaving the Office; Loans and Secondments; Probation; References; Staff Changes; Tracker; Trade Unions	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 7 years after end of Business Year. Reason: Statutory Sick Pay (General) Regulations 1982	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
PDRS Administration	Director of HR, People & Talent	Retention Period: Destroy 7 years after end of Business Year. Reason: Business Use	Meridio Action: Close folder at end of Business year. Review Instruction: Delete

6.04 HR POLICY AND GUIDANCE DEVELOPMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. (Move approved final versions of Policy to 1.07 HR Policy) Review Instruction: Move any documents still being used to new Part. Delete Part.

6.05 INTERNAL COMMUNICATIONS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Staff Event; Customer Service Emails; Extranet; InPhomation; Internal Communications Cascade; Internal Communications emails, Internal Communications posters, Internal Communications Strategy Development; Internal Forms; Intranet; L and D Communications; News Alert; Staff Briefings	Executive Director External Affairs & Strategy	Retention Period: Destroy 3 years after end of all staff event. Reason: Business Use	Meridio Action: Close folder after event held. Review Instruction: Delete folder.
Leadership Team Blogs	Executive Director External Affairs & Strategy	Retention Period: Archive 3 years after end of year. Reason: Historical use	Meridio Action: Close folder at end of year. Review Instruction: Move to Archive ARC 5.04

6.06 INVESTORS IN PEOPLE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
liP Assessments	Director of HR, People & Talent	Retention Period: Destroy 7 years after liP assessment. Reason: Business Use	Meridio Action: Close folder on completion of liP assessment. Review Instruction: Delete folder.
liP Assessments - Final Reports	Director of HR, People & Talent	Retention Period: Archive 7 years after liP assessment. Reason: Business Use	Meridio Action: Close folder on completion of liP assessment. Review Instruction: Archive folder.
liP Communications and Resources	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 7 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

6.07 LEARNING AND DEVELOPMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 7 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

6.08 PAYROLL AND PENSIONS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Pay Reviews; Pay System Review 2012-2013; Payroll Contract Renewal	Director of HR, People & Talent	Retention Period: Destroy 7 years after end of review. Reason: Business Use	Meridio Action: Close folder after completion of review. Review Instruction: Delete folder.
Payroll Administration; Pensions Administration	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 7 years after end of Business Year. Reason: Tax Management Act 1970	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

6.09 RECRUITMENT AND SELECTION

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Recruitment files (split by Band and then by recruitment campaign)	Director of HR, People & Talent	Retention Period: Destroy 1 year after completion of campaign. (Ensure successful candidate documentation is in employee folder before destruction) Reason: Business Use / Equality Act 2010	Meridio Action: On completion of recruitment campaign, move successful candidate documentation and the job description to their employee folder. Close the folder. Review Instruction: Delete folder.

6.10 MANAGEMENT INFORMATION

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Management Information Reports (Annual Classes)	Director of HR, People & Talent	Retention Period: Destroy 7 years after end of business year. Reason: Business Use	Meridio Action: Close the folder at end of business year. Review Instruction: Delete folder.
Organisation Charts	Director of HR, People & Talent	Retention Period: Destroy if no longer required for business use 7 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

Section 7: External Communications

Description of assets:

Section 7 of the corporate file plan relates to External Communications and includes stakeholder files, stakeholder activities, press and publishing and the external environment.

All correspondence, briefings, presentations and contact with external stakeholders are recorded in this section. Further, all records relating to publications and media branding of PHSO are contained here, together with policy development and analysis of the external environment.

There is little personal data contained within these assets. There may be some sensitive corporate information, particularly in relation to the draft publications, research and policy development.

ENGAGE STAKEHOLDER DATABASE

The Engage Stakeholder Database stores the contact details of our stakeholders. It contains a significant number of personal details which need to be carefully managed through regular updating and disposal. The below table lists the types of data stored and the retention and disposal schedule for the data.

Information Asset Owner: Executive Director External Affairs & Strategy

Information Asset(s)	Data collected	Retention Period and Reason	Retention and Disposal Action
Organisation Contact Details	Organisation Name Address Phone numbers	Retention Period: Destroy immediately after organisation ceases to exist Reason: Business Use	Data Ambassador: Deactivate Organisation when it ceases to exist. Data Administrator: Confirms Organisation ceases to exist and deletes organisation immediately
Individual Contact Details	Title First name Last name Email address Job function Organisation Address Phone numbers	Retention Period: Destroy immediately after contact has left organisation or individual asks to be removed Reason: Business Use	Data Ambassador: Deactivate contact when they leave the organisation/request to leave Data Administrator: Confirms contact has left the organisation and deletes contact immediately

7.01 STAKEHOLDER FILES

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Stakeholder database (Engage)	Executive Director External Affairs & Strategy	Retention Period: Destroy 1 year after Post-Implementation Review. Reason: Business Use	Meridio Action: Close folder after completion of Post-Implementation Review. Review Instruction: Delete folder.
Stakeholders A-Z	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 7 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part. Move any documents not being used but considered to be of historical interest to the Archive.

7.02 STAKEHOLDER ACTIVITIES

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
External Presentations and Talks	Executive Director External Affairs & Strategy	Retention Period: Review 3 years after end of business year. Retain key speeches made by Ombudsman and other senior representatives. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Move key speeches to ARC 5.04. Delete Folder.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Health Liaison Visits; Parliamentary Liaison Visits; Stakeholder Administration	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
Health Stakeholder Guidance; PASC Scrutiny; PHSO Stakeholder Events; Stakeholder - Corporate Queries; Stakeholder Invitations; Stakeholders Honours and Awards	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete folder.
Health Liaison Reports	Executive Director of Operations and Investigations	Retention Period: Destroy if no longer required for business use 5 years after end of Business Year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete folder.

7.03 PRESS AND PUBLISHING

Information Asset(s)	Information Asset Owner	Retention Period and Reason	Action and Review instruction
G:drive: ASDO_Development; Communications Design	Executive Director External Affairs & Strategy	Retention Period: N/A. Destroy when no longer required for business use Reason: Business Use. Storage for images, web code, videos and InDesign products that are not compatible with Meridio.	Delete documents and folders when no longer required.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Branding; Bulletins; Digital Communications; Media; Social Media	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 3 years after end of calendar Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Calendar Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
Press and published reports (including video and audio recordings)	Executive Director External Affairs & Strategy	Retention Period: Archive final published report 7 years after publication, destroy all other documentation. Reason: Business Use	Meridio Action: Close folder on publication. Review Instruction: Move final published report to Archive. Delete folder.

7.03 PRESS AND PUBLISHING / MARKETING

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Image library	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 3 years after end of calendar Year. Reason: Business Use	Meridio Action: N/A: located in G Drive Review Instruction: Retain and retitle (with date, where applicable) any documents still being used. Delete documents that are 3 years old.
Accessibility Policy; BME; Deaf Community; Learning Disabilities; Leaflets and forms; Older People; Planning	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 3 years after end of calendar Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Calendar Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
Editing and Proofreading	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 1 year after end of business year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Calendar Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

7.04 EXTERNAL ENVIRONMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Consultation	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 5 years after end of consultation. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete folder.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
External Policy Summaries	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete folder.
External relations	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 3 years after end of calendar Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Calendar Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
MP filter; Policy development	Executive Director External Affairs & Strategy	Retention Period: Archive policy 7 years after policy complete. Reason: Business Use	Meridio Action: Close folder on policy completion. Review Instruction: Move folder to the archive.
Research and feedback	Executive Director External Affairs & Strategy	Retention Period: Archive final published report 7 years after publication, destroy all other documentation. Reason: Business Use	Meridio Action: Close folder on publication. Review Instruction: Move final published report to archive. Delete folder.

7.04 EXTERNAL ENVIRONMENT / EXTERNAL ENVIRONMENT ANALYSIS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
External Environment	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 3 years after end of calendar Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Calendar Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
External Impact Reports	Executive Director External Affairs & Strategy	Retention Period: Delete folder 3 years after end of Business Year Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete folder.

7.04 EXTERNAL ENVIRONMENT / EXTERNAL ENVIRONMENT ANALYSIS / SYSTEMIC INVESTIGATIONS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
External Systemic Research	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 3 years after end of calendar Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Calendar Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
Systemic Meetings (Annual Folders)	Executive Director External Affairs & Strategy	Retention Period: Delete folder 3 years after end of Business Year Reason: Business Use	Meridio Action: Close folder at end of Business Year. Review Instruction: Delete folder.

Section 8: Information Management

Description of assets:

This section contains assets relating to the management, preservation, protection and reporting of PHSO's physical and electronic information.

Specifically, the assets in this section relate to management of the Archive, Freedom of Information (FOI) and Data Protection (DP), information management policy and guidance development, information and communications technology administration, information security, learning and resource centre management and information requests.

Some of the assets in this section contain sensitive corporate data particularly in relation to management of PHSO's information technology, information security and FOI/DP.

8.01 ARCHIVE MANAGEMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Archive management	Director of Quality & Service Integrity	Retention Period: Destroy 3 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete folder.
Superseded Policy and Guidance Archive	Director of Quality & Service Integrity	Retention Period: Move documents to the Archive as soon as they have been moved here. Reason: Historical use.	Meridio Action: None Review Instruction: Move documents to relevant Archive folder.

8.02 FREEDOM OF INFORMATION / DATA PROTECTION

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Legal Adviser	Retention Period: Destroy if no longer required for business use 7 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

8.03 INFORMATION MANAGEMENT POLICY AND GUIDANCE DEVELOPMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Director of Quality & Service Integrity	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

8.04 INFORMATION AND COMMUNICATIONS TECHNOLOGY ADMINISTRATION

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
G:Drive: SunGard	Director of Quality & Service Integrity	Retention Period: Destroy when no longer required for business use. Reason: Business Use; managed by Capita	Review Instruction: Delete documents and folders when no longer required.
SharePoint: ICT Assets	Director of Quality & Service Integrity	Retention Period: Destroy 1 year after item is closed. Reason: Business Use	Review Instruction: Delete list item 1 year after asset returned/no longer in use.

8.04 INFORMATION AND COMMUNICATIONS TECHNOLOGY ADMINISTRATION / ICT MANAGEMENT AND PERFORMANCE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of Quality & Service Integrity	Retention Period: Destroy if no longer required for business use 6 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

8.04 INFORMATION AND COMMUNICATIONS TECHNOLOGY ADMINISTRATION / ICT SYSTEMS, SOFTWARE AND SERVICE ADMINISTRATION

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Director of Quality & Service Integrity	Retention Period: Destroy 6 years after system ceases. Reason: Business Use	Meridio Action: Close folder when system ceases. Review Instruction: Delete folder.

8.04 INFORMATION AND COMMUNICATIONS TECHNOLOGY ADMINISTRATION / INFORMATION SYSTEMS CONTENT MANAGEMENT (ISCM)

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Director of Quality & Service Integrity	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

8.04 INFORMATION AND COMMUNICATIONS TECHNOLOGY ADMINISTRATION / VISUALFILES

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Folders	Executive Director of Business Transformation	Retention Period: Destroy 6 years after Visualfiles ceases. Reason: Business Use	Meridio Action: Close folder when Visualfiles ceases. Review Instruction: Delete folder.

8.04 INFORMATION AND COMMUNICATIONS TECHNOLOGY ADMINISTRATION / VISUALFILES USERGROUP

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Visualfiles User Group (Annual Folders)	Executive Director of Business Transformation	Retention Period: Destroy 6 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete folder.

8.05 INFORMATION ASSURANCE

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
All Classes	Director of Quality & Service Integrity	Retention Period: Destroy if no longer required for business use 6 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	Action and Review instruction
SharePoint: Secure Document Access	Director of Quality & Service Integrity	Retention Period: Destroy 1 year after list item closed (i.e. file returned). Reason: Business Use	Review Instruction: Delete list item.
ICT Audit Logs	Director of Quality & Service Integrity	Retention Period: Destroy 6 months after creation. Reason: Business Use	Review Instruction: Delete log.

8.06 LEARNING AND RESOURCE CENTRE MANAGEMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Copyright and Licensing	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 7 years after end of Business Year. Reason: Limitations Act 1980	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
E-Library - Guidance - Maintenance; LRC Access External Information; LRC Administration; LRC Catalogues-Listings; LRC Guides and Handouts; LRC Labels and Signage; LRC Newsletter Articles; LRC Policies Guidelines; LRC Posters and Screens; LRC Promotions and Communications Planning; LRC Service Evaluation; LRC Services - LGO; LRC Services - Manchester; LRC Specific Events	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

8.07 INFORMATION REQUESTS

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
External data information requests; Information Requests Reporting; Internal data information requests; LRC Administration - Information Requests; LRC Requests; LRC Responses Sent - Health; LRC Responses Sent - LGO; LRC Responses Sent - Other; LRC Responses Sent - Parliamentary	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
Information Requests - Copyright Forms	Executive Director External Affairs & Strategy	Retention Period: Destroy if no longer required for business use 7 years after end of Business Year. Reason: Limitations Act 1980	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.

8.08 INFORMATION AND RECORDS MANAGEMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Approved IRM Guidance	Director of Quality & Service Integrity	<p>Retention Period: Move superseded guidance from 'Current' folder to 'Superseded folder'. Destroy the superseded guidance 3 years after end of Business Year in which it was superseded.</p> <p>Reason: Business Use</p>	<p>Meridio Action: Automatic Part closure at end of Business Year.</p> <p>Review Instruction: Delete Part.</p>
Information Governance Audit and Compliance; Managing Paper Files	Director of Quality & Service Integrity	<p>Retention Period: Destroy 6 years after end of business year.</p> <p>Reason: Business Use</p>	<p>Meridio Action: Close folder at end of business year.</p> <p>Review Instruction: Delete folder.</p>
SIMA Network; Managing Electronic Records; Managing Meridio; Records Management Advice, Guidance and Enquiries	Director of Quality & Service Integrity	<p>Retention Period: Destroy 3 years after end of business year.</p> <p>Reason: Business Use</p>	<p>Meridio Action: Close folder at end of business year.</p> <p>Review Instruction: Delete folder.</p>

8.08 INFORMATION AND RECORDS MANAGEMENT / MANAGING RETENTION AND DISPOSAL

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
File Destruction Certificates	Director of Quality & Service Integrity	Retention Period: Archive 3 years after end of business year. Reason: Business Use / Destruction Evidence	Meridio Action: Close folder at end of business year. Review Instruction: Archive folder.
File Holds	Director of Quality & Service Integrity	Retention Period: Destroy 6 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete folder.
Locating and Sourcing Files; R&D Administration and Planning	Director of Quality & Service Integrity	Retention Period: Destroy 3 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete folder.

8.09 TEMPLATE MANAGEMENT

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Templates	Director of Quality & Service Integrity	Retention Period: Review folder 3 years after end of business year. Retain if Template still used. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete folder.

Section 9: Team Administration

Description of assets:

This section of the corporate file plan contains the team administration areas. Here, each team has an area for records relating to its own correspondence, administration, finance, planning, performance and meetings or away days. There is likely to be substantial personal data contained within these assets for the staff members within the team. However, there should not be any corporate data as this should be contained within the other sections of the file plan.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	System Action and Review instruction
Team administration; Team correspondence; Meetings and away days; Team planning; Team performance; Team staffing	Team director	Retention Period: Destroy if no longer required for business use 3 years after end of Business Year. Reason: Business Use	Meridio Action: Automatic Part closure at end of Business Year. Review Instruction: Move any documents still being used to new Part. Delete Part.
Team finance	Team director	Retention Period: Destroy 6 years after end of business year. Reason: Business Use	Meridio Action: Close folder at end of business year. Review Instruction: Delete folder.

Section 10: PHSO Archive

Description of assets:

This section of Meridio contains all records selected for permanent preservation, as instructed by the retention schedules for sections 1-9 of the corporate fileplan.

When assets are acquisitioned into the PHSO Archive, ownership transfers to the Head of Information and Records Management.

Personal data will be contained within section ARCH 1 CASEWORK.

Meridio ‘My Workspace’

Description of assets:

‘Personal’ documents belonging to PHSO staff members. PHSO corporate information must not be stored in My Workspace, except for: staff information (i.e. 1:1 notes), personal staffing information, timesheets, training etc.

Information risks:

There may be some personal data stored in My Workspace specifically relating to staff management. No other corporate information should be stored in My Workspace.

Retention period:

Delete My Workspace 3 months after staff member leaves office.

PHSO Back-up tapes

Description of assets:

All PHSO electronic information is backed-up.

Information risks:

Access to backed-up information is restricted to ICT administrators and therefore the risks of inappropriate access is low.

The Lord Chancellor’s code of practice on Records Management requires backed-up information to also be deleted to ensure compliance with legislation such as the Data Protection Act and Freedom of Information. Information deleted from systems, but not from back-up tapes can be requested under FOI and DPA legislation and therefore it is recommended best practice to delete them from back-up tapes, as soon as possible after they have been intentionally deleted from the relevant systems in accordance with our retention and disposal schedules.

Retention period:

Backed-up information is retained for 90 days and then overwritten, amounting to the back-up information no longer being retrievable in terms of the FOI Act.

PHSO Outlook

Emails sent to the Deleted Items box are deleted when the user closes Outlook.

Emails stored in the Inbox (and in any subfolders created by user) or Sent items are deleted 90 days after receipt/sent date. Staff are encouraged to save emails directly into Meridio if they need to be kept as PHSO records.

Calendar items are deleted after two years.

PHSO Intranet - Ombudsnet

Information of the intranet is 'live', and is regularly updated. Information is removed when it has been superseded. This includes pages, wikis and the staff directory.

The SharePoint sites for External Affairs & Strategy and for Customer Services are wikis so the same retention approach applies.

Temporary storage in the Downloads Folder

Data in individual users' downloads folder is deleted automatically when the user logs off from the system.

Temporary storage in the G: Drive

The G: Drive is used for temporary storage of information, for example when downloading data for transfer to Meridio.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	Action and Review instruction
G:Drive HR Pro Downloads	Director of HR, People & Talent	Retention Period: N/A. Temporary storage to move to Meridio. Reason: Business Use	Review Instruction: Once successfully uploaded to Meridio, delete copies in G: Drive.
G:Drive: InDesign	Director of Quality & Service Integrity	Retention Period: N/A Temporary storage due to storage requirements. Reason: Business Use	Review Instruction: Once final version moved to Meridio, delete any drafts. Delete images once no longer required.
G:Drive: TemporaryTransfers	Director of Quality & Service Integrity	Retention Period: Destroy 3 months after addition Reason: Business Use	Review Instruction: Delete folder 3 months after addition.
G:drive - Dragon Medical	Director of Quality & Service Integrity	Retention Period: N/A. Destroy when no longer required for business use Reason: Business Use.	Review Instruction: Delete when system no longer used.

Information Asset(s)	Information Asset Owner	Retention Period and Reason	Action and Review instruction
G:Drive - Elanor Private	Director of HR, People & Talent	Retention Period: N/A. Destroy when no longer required for business use Reason: Business Use, due to technical issues with other software	Review Instruction: Delete documents and folders when case closed.
G:Drive: Jane Private	Director of Investigations	Retention Period: N/A. Destroy when no longer required for business use Reason: Business Use, due to technical issues with other software	Review Instruction: Delete documents and folders when case closed.