

## FSA Retention criteria

Record Series	Legal requirements	Known Best Practice	Operational Requirements	Retention	Retention Code
<b>Supervision Records created prior to N2</b>					
Supervisory records transferred to FSA from the Bank of England (BoE) 1979 to 1998	The Bank of England to have permanent right of access to S&S records post 1979 transferred to FSA, retaining legal liability for supervisory decisions taken prior to transfer. (Ref. BoE note November 1997)	BoE to be provided a list of files due for destruction. BoE will review and select files that it wishes to retain for permanent preservation		Dispose after 7 Years	A1
Regulatory records of former constituent bodies SIB <sup>[1]</sup> , PIA <sup>[2]</sup> , SFA <sup>[3]</sup> , IMRO <sup>[4]</sup> , LAUTRO <sup>[5]</sup> , FIMBRA <sup>[6]</sup> .		Dispose after 7 years		Dispose after 7 Years	A2
Legacy information on rule books, publications, press releases and disciplinary details only (public and private) from the SIB <sup>1</sup> , PIA <sup>2</sup> , SFA <sup>3</sup> , IMRO <sup>4</sup> , LAUTRO <sup>5</sup> , FIMBRA <sup>6</sup> , TSA <sup>[1]</sup> , IBRC <sup>[2]</sup> , AFBD <sup>[3]</sup> , DTI <sup>[4]</sup> , Bank of England's S&S, INS Dir, Friendly Soc. Commission				Permanent retention	A3

Pre N2 records held by FSA on behalf of predecessor bodies under HMG i) Building Societies Commission ii) Friendly Societies Commission iii) HMT and DTI documents relating to Insurance regulation between 01/01/1999 to 01/12/2001		Documents selected for permanent preservation should be transferred to The National Archives (TNA) within 30 years of selection		Dispose after 7 Years unless selected for permanent preservation by the TNA	A4
<b>Supervision Records created prior to N2</b>					
Mutual Societies records for public access		Documents selected for permanent preservation should be transferred to The National Archives (TNA) within 30 years of selection		Dispose 7 Years after closure of the society, unless selected for permanent preservation by the TNA	A5
Mutual Society - Public Search & Copy (PSC) Records			Dispose 2 years after date of oldest record	Dispose 2 years after date of oldest record	A8
Pre N2 records held by FSA on behalf of Government Actuaries Division		Documents selected for permanent preservation should be transferred to The National Archive (TNA) within 30 years of selection		Dispose 10 Years after the advice was given, unless selected for preservation by the TNA (Government Actuary – retention of documents 9 September 1997)	A6
<b>Supervision Records created after N2</b>					

Supervisory records	Financial Services and Markets Act 2000 (FSMA) schedule 1 paragraph 9 and to meet the needs of Her Majesty's Treasury (HMT) review		Dispose 7 Years after year of creation, unless specific records are identified for further retention (reason for further retention should be stated along with retention period). Maximum retention 15 years	Dispose 7 Years after year of creation, unless specific records are identified for further retention (reason for further retention should be stated along with retention period). Maximum retention 15 years	A7
Mutual Societies records for public access	Financial Services and Markets Act schedule 1 paragraph 9 and to meet the needs of HMT review			Dispose after 7 Years after closure of the society	A5
Mutual Society - Public Search & Copy (PSC) Records			Dispose 2 years after date of oldest record	Dispose 2 years after date of oldest record	A8
Collective Investment Schemes records (AUTs and OEIC)			Regulation 74.2 of the Open-Ended Investment Companies Regulations 2001	Dispose 10 Years after date file was archived	A9
Firm Contact Centre - Hard copy and Electronic Records				Dispose after 7 Years	A10
Perimeter Guidance Team - Hard copy and Electronic Records				Dispose after 7 Years	A11
<b>Regulatory Transactions Records created prior to N2</b>					
Capital Adequacy Directive - CAD waiver applications			Dispose of 10 years after waiver decision has been made, unless specific records are identified for further retention (reason for further retention should be stated along with retention period)	Dispose of 10 years after waiver decision has been made, unless specific records are identified for further retention (reason for further retention should be stated along with retention period)	B10

**Regulatory Process Records created after N2**

Authorisation - Corporate	Financial Services and Markets Act 2000 (FSMA) schedule 1 paragraph 9 and to meet the needs of HMT review			Dispose after 7 Years	B1
Authorisation - Individual	Financial Services and Markets Act 2000 (FSMA) schedule 1 paragraph 9 and to meet the needs of HMT review			Dispose after 7 Years	B2
Authorisation Approved Person regime - Form A application to perform controlled function				Dispose 10 Years from date of receipt	B3
Authorisation Approved Person regime - Form B notice to withdraw an application				Dispose after 7 Years	B4
Authorisation Approved Person regime - Form C notice of ceasing to perform controlled functions				Dispose 10 Years from date of receipt	B5
Authorisation Approved Person regime - Form D notification of changes in personal information				Dispose after 7 Years	B6
Authorisation Approved Person regime - Form E application for internal transfer of an approved person				Dispose after 7 Years	B7
Consumer Contact Centre hard copy records				Dispose after 1 Year	B8
Consumer Contact Centre electronic records				Dispose after 3 Years	B9

**Regulatory Transactions Records created after N2**

Capital Requirements Directive - CAD, AMA & IRB waiver applications			Dispose of 10 years after waiver decision has been made, unless specific records are identified for further retention (reason for further retention should be stated along with retention period)	Dispose of 10 years after waiver decision has been made, unless specific records are identified for further retention (reason for further retention should be stated along with retention period)	B11
<b>Enforcement records</b>					
FSA rule books, publications, press releases and disciplinary details only			Permanent Retention	Permanent Retention	C1
Regulatory Process	Financial Services and Markets Act schedule 1 paragraph 9 and to meet the needs of HMT review		Dispose 7 Years after year of creation	Dispose 7 Years after year of creation	C2
Supervisory records			Dispose 7 Years after year of creation	Dispose 7 Years after year of creation	C3
Enforcement action	Financial Services and Markets Act schedule 1 paragraph 9 and to meet the needs of HMT review			Duration of Project plus 7 Years* (* See RDC/Tribunal recommendations)	C4
<b>Enforcement records</b>					
Seized evidence	Retained for 3 months , or if criminal proceedings are commenced within that period, until the conclusion of proceedings FSMA s. 176(8)		3 months or until conclusion of criminal proceedings	3 months or until conclusion of criminal proceedings	C5

Intelligence gathering - Research in support of FSA action	Financial Services and Markets Act schedule 1 paragraph 9 and to meet the needs of HMT review		Dispose 7 years after year of creation, unless specific records are identified for further retention (reason for further retention should be stated along with retention period). Maximum retention 15 years	Dispose 7 years after year of creation, unless specific records are identified for further retention (reason for further retention should be stated along with retention period). Maximum retention 15 years	C6
Risk Assessment	Financial Services and Markets Act schedule 1 paragraph 9 and to meet the needs of HMT review		Dispose 7 Years after year of creation, unless specific records are identified for further retention (reason for further retention should be stated along with retention period). Maximum retention 15 years	Dispose 7 Years after year of creation, unless specific records are identified for further retention (reason for further retention should be stated along with retention period). Maximum retention 15 years	C7
<b>Enforcement records</b>					
Legal advice received	6 years. Limitation Act 1980			Duration of action for which advice received plus 7 Years review/dispose	C8
Legal advice given	6 years. Limitation Act 1980			Duration of action for which advice given plus 7 Years review/dispose	C9

Policy records	Financial Services and Markets Act schedule 1 paragraph 9 and to meet the needs of HMT review			Dispose 7 Years after year of creation, unless specific records are identified for further retention (reason for further retention should be stated along with retention period). Maximum retention 15 years	C10
Regulatory Decision Making - RDC decisions Tribunal referrals	Limitation Act 1980 provides general limit of 6 years from date of loss for claims of negligence, with a maximum limitation period of 15 years. 3 months for judicial review. 3 months for challenges under FSMA.			Dispose 15 years from the date the Final Notice was issued	C11
Project Records (other than where relevant to Enforcement Action)				Dispose 7 Years after completion of project	C12
Working papers				Dispose 2 Years after completion of project	C13
<b>Legal Records</b>					
Legal advice received (External legal opinion included in applications to FSA, e.g. in variation of permission requests, should be treated as information received and not as legal advice)		Limitations 6 Years	Dispose 7 Years after duration of action for which advice received	Dispose 7 Years after duration of action for which advice received	D1
Legal advice given		Limitations 6 Years	Dispose 7 Years after duration of action for which advice given	Dispose 7 Years after duration of action for which advice given	D2

Contracts/agreements under seal	Limitations Act 1980 12 year limit for actions on a contract under seal (i.e. companies memorandum)		Dispose 12 Years after conclusion of contract	Dispose 12 Years after conclusion of contract	D3
Other contracts	6 Years after expiry		Dispose 6 Years after conclusion of contract	Dispose 6 Years after conclusion of contract	D4
Title deeds and property related documents	[12 years after expiry ceased]		Dispose 12 Years after expiry	Dispose 12 Years after expiry	D5
Major agreements			Permanent retention for lifetime of organisation	Permanent retention for lifetime of organisation	D6
Royalty payments			Permanent retention for lifetime of organisation	Permanent retention for lifetime of organisation	D7
Royalty agreements	1 year after expiry		Dispose 1 Year after expiry	Dispose 1 Year after expiry	D8
<b>Policy Records</b>					
Policy records	Financial Services and Markets Act schedule 1 paragraph 9 and to meet the needs of HMT review		Dispose 7 years after year of creation, unless specific records are identified for further retention (reason for further retention should be stated along with retention period). Maximum retention 15 years	Dispose 7 years after year of creation, unless specific records are identified for further retention (reason for further retention should be stated along with retention period). Maximum retention 15 years	E1
FSA rule books, publications, press releases and disciplinary details only (public and private) in both paper and electronic format including: FSA consultation papers, responses to consultation papers, FSA discussion papers and responses to discussion papers	Financial Services and Markets Act schedule 1 paragraph 9 and to meet the needs of HMT review		Permanent retention	Permanent retention	E2

<b>Cross FSA Records</b>					
Regulatory Decision Making - ChairCo Delegations	6 years from date of loss for claims of negligence, with a Statutory limitation period of 15 years. 3 months for judicial review.	3 months for challenges under FSMA	Dispose 7 Years after the version superseded.	Dispose 7 Years after the version superseded.	F1
Regulatory Decision Making - Agendas approved minutes and supporting internal and external papers.	6 years from date of loss for claims of negligence, with a Statutory limitation period of 15 years. 3 months for judicial review.	3 months for challenges under FSMA	Destroy 7 Years after the month in which the decision was made.	Destroy 7 Years after the month in which the decision was made.	F2
<b>Cross FSA Records</b>					
Regulatory Decision Making - Management information	6 years from date of loss for claims of negligence, with a Statutory limitation period of 15 years. 3 months for judicial review.	3 months for challenges under FSMA	Dispose 2 Years after the 31st March following the month to which the Management Information relates	Dispose 2 Years after the 31st March following the month to which the Management Information relates	F3
Regulatory Decision Making - Statement of procedures for each Decision Making Committee	6 years from date of loss for claims of negligence, with a Statutory limitation period of 15 years. 3 months for judicial review.	3 months for challenges under FSMA	Dispose 7 Years after the version superseded.	Dispose 7 Years after the version superseded.	F4
Regulatory Decision Making - Divisional regulatory committee (DRC) decisions	6 years from date of loss for claims of negligence, with a Statutory limitation period of 15 years. 3 months for judicial review.	3 months for challenges under FSMA	Dispose 15 years from the date the final statutory notice was issued.	Dispose 15 years from the date the final statutory notice was issued.	F5
Regulatory Decision Making - Tribunal referrals	6 years from date of loss for claims of negligence, with a Statutory limitation period of 15 years. 3 months for judicial review.	3 months for challenges under FSMA	Dispose 15 years from the date the final statutory notice was issued.	Dispose 15 years from the date the final statutory notice was issued.	F6
FSA Project records			Dispose 7 years from completion of project	Dispose 7 years after completion of project	F7
Draft reports, working papers & correspondence			Dispose 2 years from completion of project	Dispose 2 years after completion of project	F8

**Cross FSA Records**

**Code of Conduct Records**

Appendix A Disclosure of interests			Retain 7 years from date of signing. All versions of Appendix As (including those copied to HR) should be retained from date of signing, even if they have been superseded by a revised version incorporating changes.	Retain 7 years from date of signing. All versions of Appendix As (including those copied to HR) should be retained from date of signing, even if they have been superseded by a revised version incorporating changes.	F9
Appendix B Permission to deal			Retain 7 years from date of signing (ideally in electronic form)	Retain 7 years from date of signing (ideally in electronic form)	F10

**FSA HR Records**

**Central HR records - retention periods based on Information Commissioner's Code of Practice.**

**Central Payroll Records**

Wages /salary records (also overtime, bonuses, expenses)	Review/dispose 6 years		Dispose not less than 6 years after the end of the financial year to which they relate	Dispose after 7 years	G1
Income tax & NI returns, income tax records, payroll & wages details.	Review/dispose not less than 6 years after the end of the financial year to which they relate		Dispose not less than 6 years after the end of the financial year to which they relate	Dispose after 7 years	G2
Statutory sick pay records, calculations, certificates & self certificates.	Review/dispose not less than 3 years after the end of the financial year to which they relate		Dispose not less than 3 years after the end of the financial year to which they relate	Dispose not less than 3 years after the end of the financial year to which they relate	G3
Statutory maternity pay records, calculations, certificates (Mat B1s or other medical evidence).	Review/dispose not less than 3 years after the end of the financial year to which they relate		Dispose not less than 3 years after the end of the financial year to which they relate	Dispose not less than 3 years after the end of the financial year to which they relate	G4

**Central HR Records**

Employment paperwork: contract and offer letter, start date letter, employment references, Appendix C, FSMA, Health Questionnaire, passport/visa, qualifications (if required for role)			Retain for duration of employment	Retain for duration of employment and 10 years from end employment date	G5
Contractual information: contract variations, change to terms and conditions, internal appointment letters, probation confirmation, secondment paperwork, pension details for staff who transferred into FSA), interim salary changes, changes to written particulars			Retain for duration of employment	Retain for duration of employment and 10 years from end employment date	G14
Absence employment records (maternity, career leave, medical, paternity, parental, sickness/medical etc, unpaid and special leave)			Retain for duration of employment	Retain for duration of employment and 10 years from end employment date	G7
References given/information to enable references to be provided.		Information Commissioner's code of practice	Retain for duration of employment.	Retain for duration of employment and 10 years from end employment date	G13
Disciplinary details.		Information Commissioner's code of practice	Retain for duration of employment.	Delete once the disciplinary action has expired.	G6
Flexible Benefits Information (Total remuneration statements, information from providers, stats etc)			Retain for 4 years	Dispose after 5 years	G9
Annual appraisal/assessment records (retained in HR)		Information Commissioner's code of practice	Retain for 3 years after creation date	Dispose 3 years after creation date	G10
<b>FSA HR Records</b>					
<b>Local Records (including MSU)</b>					

Application forms, interview notes and reference details.		Information Commissioner's code of practice	Retain for duration of employment.	Retain for duration of employment.	G15
Interview notes on unsuccessful candidates			Input notes into capability matrix on igrasp. All written notes to HRRM to retain 12 months	Dispose 1 year after creation date	
Annual leave records		Information Commissioner's code of practice	Dispose 2 years after creation date	Dispose 2 years after creation date	G8
Annual Appraisal (retained by department)		Information Commissioner's code of practice	Dispose 1 year after creation date	Dispose 1 year after creation date	G11
Training records			Retained electronically on Oracle HR - majority of records are created by individual by employee Self Service	Retain for duration of employment	G12
<b>Financial Records</b>					
Accounting records	Companies Act 1985 s.222(5) accounting records retained 3 years from date made		Dispose after 3 years from date created	Dispose after 3 years from date created	H1
VAT	Retain 3 years		Dispose after 3 years from date created	Dispose after 3 years from date created	H2
Taxation	Taxation Management Act 1970 retain 6 years NB s.39 TMA 1970 Inland revenue may investigate matters more than 15 years in exceptional circumstances		Review/dispose after 6 years. Retained records for which rationale in business terms provided dispose at 15 years	Review/dispose after 6 years. Retained records for which rationale in business terms provided dispose at 15 years	H3
Cheques/remittance advice	6 years		Dispose after 6 years	Dispose after 6 years	H4
Cash book list	10 years		Dispose after 10 years	Dispose after 10 years	H5
Cost control ledger analysis	6 years		Dispose after 6 years	Dispose after 6 years	H6
Invoice – revenue		Dispose after 6 years		Dispose after 6 Years	H7
Invoice – capital			Dispose after 10 Years	Dispose after 10 Years	H8
<b>Financial Records</b>					
Quotations - Capital expenditure (successful)			Permanent for lifetime of company	Permanent for lifetime of company	H9

Quotations - Capital expenditure (unsuccessful)			Dispose after 1 Year	Dispose after 1 Year	H10
Quotations - Revenue expenditure (successful)			Retain current plus 1 Year	Retain current plus 1 Year	H11
Quotations - Revenue expenditure (unsuccessful)			Dispose after 3 months	Dispose after 3 months	H12
Purchase requisitions		Current plus 3 Years	Current plus 3 Years	Current plus 3 Years	H13
Purchase Invoices			Retain current plus 6 years	Retain current plus 6 years	H19
Assets - Ledger sheets		Dispose after 10 years		Dispose after 10 years	H14
Assets - Consolidated accounts			Permanent for lifetime of company	Permanent for lifetime of company	H15
Assets - Disposal of assets			Permanent for lifetime of company	Permanent for lifetime of company	H16
Assets - Application to write off plant value			Permanent for lifetime of company	Permanent for lifetime of company	H17
Assets - Annual depreciation			Dispose after 3 years	Dispose after 3 years	H18
<b>Corporate Records</b>					
Minutes of Committees or Board meetings	Companies Act 1985		Permanent retention	Permanent retention	I1
Directors minutes signed by the Chairman	Companies Act 1985		Permanent retention	Permanent retention	I2
Company registers	Companies Act 1985		Permanent retention	Permanent retention	I3
Powers of attorney & court orders	Companies Act 1985		Permanent retention	Permanent retention	I4
Copy of instruments creating change	Companies Act 1986		Permanent retention	Permanent retention	I5
Enquiry proceedings		Commercial	Permanent retention	Permanent retention	I6
Company organisation papers		Commercial	Permanent retention	Permanent retention	I7
Important company policy records		Commercial	Permanent retention	Permanent retention	I8
Legal documents		Commercial	Permanent retention	Permanent retention	I9
<b>Corporate Records</b>					
Register of seals	Companies Act 1985		Permanent retention	Permanent retention	I10
Articles of association	Companies Act 1985		Permanent retention	Permanent retention	I11
Certificate of incorporation	Companies Act 1985		Permanent retention	Permanent retention	I12

Register of directors and secretaries	Companies Act 1985 s.288		Permanent retention	Permanent retention	I13
Register of directors share and debenture interests	Companies Act 1984 s.325		Permanent retention	Permanent retention	I14
Particulars of directors service contracts	Companies Act 1984 s.318		Permanent retention	Permanent retention	I15
Contracts - see under Legal					
<b>Local Area Administrative Records</b>					
Timesheets			Retain for duration of current financial year	Retain for duration of current financial year	J1
Leave				Dispose 2 years after creation date	J2
Routine reports			Dispose after 2 Years	Dispose after 2 Years	J3
Minutes and agendas			Dispose after 2 Years	Dispose after 2 Years	J4
Training			Details held on SAM database for duration of employment plus 6 Years	Details held on SAM database for duration of employment plus 6 Years	J5
<b>Local Area Administrative Records HoDs</b>					
Budgets			Retain for duration of current financial year	Retain for duration of current financial year	J7
Training			Details held on SAM database for duration of employment plus 6 Years	Details held on SAM database for duration of employment plus 6 Years	J8
Recruitment			Copy from HR held for duration of recruitment process then return to HR or destroy	Copy from HR held for duration of recruitment process then return to HR or destroy	J9
Routine reports monthly/quarterly			Dispose after 2 Years	Dispose after 2 Years	J11
Team meetings			Dispose after 2 Years	Dispose after 2 Years	J12
Bilaterals			Dispose after 2 Years	Dispose after 2 Years	J13
Minutes and agendas			Dispose after 2 Years	Dispose after 2 Years	J14
Emergency contacts			Continual update	Continual update	J15

Letters and memos			Review/Dispose after 1 Year	Review/Dispose after 1 Year	J16
<b>Local Area Administrative Records</b>					
<b>Sub contractors</b>					
SC60 etc	Dispose after 6 Years		Dispose after 6 Years	Dispose after 6 Years	J17
Other income tax	Dispose after 6 Years		Dispose after 6 Years	Dispose after 6 Years	J18
National insurance		Dispose after 6 Years	Dispose after 6 Years	Dispose after 6 Years	J19
Time sheets	Current plus 1 Year		Current plus 1 Year	Current plus 1 Year	J20
<b>Health and Safety</b>					
Accident books	Dispose after 3 Years from date of last entry		Dispose after 3 Years from date of last entry	Dispose after 3 Years from date of last entry	J21
Control of substances hazardous to health	COSHH 40 Years from date of last incident		COSHH 40 Years from date of last incident	COSHH 40 Years from date of last incident	J22
Equipment inspection records	Varies according to equipment		Varies according to equipment	Varies according to equipment	J23
Risk assessments	Dispose after 3 Years or until superseded		Dispose after 3 Years or until superseded	Dispose after 3 Years or until superseded	J24
<b>I.S. Records</b>					
I.S. Back up tapes	Dispose after 1 year, with the exception of back up tapes required for legal purposes, which are retained for the duration of proceedings			Dispose after 1 year, with the exception of back up tapes required for legal purposes, which are retained for the duration of proceedings	K1
<b>Goodstanding Letters</b>					
Goodstanding Letters - request, response and supplementary information	None	None	Short term reference only, to confirm a request has been met	Dispose after 1 Year	L1
<b>Freedom of Information Act Records</b>					
FSA FOI Policy and related documents			Dispose 7 years after year of creation or when policy has been superceded	Dispose 7 years after year of creation or when policy has been superceded	M1
Retention and Disposal Policy			Retain permanently	Retain permanently	M2

<b>Right To Know (RTK) requests and response records</b>					
Records of RTK requests, records relating to decisions about releasing or withholding information and records of RTK internal review requests and ICO complaints where the case has not gone to tribunal.			All files will be destroyed after 3 years from RTK case closure or internal review closure or ICO decision notice, whichever is the latest.	Dispose 3 years after the case is closed	M5
Records of RTK requests, records relating to decisions about releasing or withholding information and records of RTK internal review requests and ICO complaints where the case has gone to tribunal.			All files will be destroyed after 7 years from Information Tribunal decision notice	Dispose 7 years after the case is closed	M6
FOI Queries, related documents and relevant entries on IAT log			All queries, related documents and entries on IAT log to be destroyed 3 years after query has been responded to or from when IAT has received confirmation from relevant area that they will respond to the request.	Dispose 3 years after the query has been responded to or from when IAT has received confirmation from relevant business area that they will respond to the request.	M7
<b>Comparative Tables</b>					
Comparative Tables - website text files containing text featured on the website at various points in time	None	All other electronic files for the Comparative Tables are retained for 6 years - it makes sense for the text files to be retained for the same period of time in case of queries	Destroy after 6 years from date records are transferred to 'Text Archive July 2005' folder	Dispose after 6 Years	N1
<b>Public Affairs &amp; Accountability</b>					

MPs Letters	None	None	7 Years	Dispose after 7 Years	O1
<b>Company Secretariat</b>					
Board & Board Committees				Permanent retention	P1
Company Secretariat/Statutory				Permanent retention	P2
<b>Pension Plan Trustee Board (PPTB)</b>					
Minutes of PPTB Boards and Board Committees				Permanent retention	P3
Registers and all legal documents				Permanent retention	P4
PPTB administration records				outsourced, all basic administration records held by Aon Consulting	P5
PPTB Accounts				Permanent retention	P6
<b>Independent Related Bodies</b>					
Consumer Panel				Permanent retention	P7
Practitioner Panel				Permanent retention	P8
SBPP				Permanent retention	P9
FOS				Permanent retention	P10
Investors Compensation Board/Scheme/Co				Permanent retention	P11
BOBS				Dispose after 7 Years	P12
<b>Independent Complaints Commissioner</b>					
Registers C8.1				Permanent retention	P13
Set Up, etc C8.2, C8.9, C8.10 - C8.17				Permanent retention	P14
<b>Company Secretariat</b>					
<b>Independent Complaints Commissioner cont.</b>					
Complaints/Queries C8.3 - C8.8				Dispose after 7 Years (to be reviewed)	P15
C8.18 - C8.21				Dispose after 7 Years (to be reviewed)	P16
FSCS				Permanent retention	P17
Internet Practitioner Group				Permanent retention	P18
SROs & BSC				Permanent retention	P19
<b>HR &amp; Pensions</b>					

FSA Pension Scheme E1				Permanent retention	P20
SIB Pension Scheme E2				Permanent retention	P21
HR Policies E3/HR Admin E4				Dispose after 7 Years	P22
SCC				Permanent retention	P23
Expression of Wish Forms				Permanent retention	P24
<b>Ethics &amp; Code of Conduct</b>					
Old Code returns (for staff on new Code)				Dispose after 7 Years	P25
New Code Data				Retain for duration of staff employment - then send to HR for further 7 Year retention	P26
General files on old/new Code				Dispose after 7 Years	P27
<b>Department</b>					
G1 - G13				Dispose after 7 Years	P28
G14 - G17				Permanent retention	P29
G19 - G27				Dispose after 7 Years	P30
<b>Honours</b>				Dispose after 7 Years	P31
<b>Other</b>					
J1 - J3				Permanent retention	P32
J4 - J5				Dispose after 7 Years	P33
J6				Permanent retention	P34
J7				Dispose after 7 Years	P35
J8				Permanent retention	P36
J9				Dispose after 7 Years	P37
J10 - J13				Permanent retention	P38
<b>Company Secretariat</b>					
UKLA Board Committee papers - LARC (Listing Authority Review Committee) & LAAC (Listing Authority Advisory Committee)				Permanent retention	P39
<b>UK Listing Authority</b>					

Review and Approve (RA) and Direction and Clarification (DC) cases containing records re formal approval of legal/regulatory documents and general enquiries received by UK Listing Authority (including complaints).			Paper records - retain for 6 Years in case there are queries about whether the letter was received or a response has been provided	Dispose after 6 Years	Q1
<b>Security Records</b>					
Electronic Access Control Records				Dispose after 6 Years	R1
Security Records, Incident Management records (electronic or hard copy)				Dispose after 6 Years	R2
Closed Circuit Television Tapes (C.C.T.V.)	Data Protection Act 1998			Dispose after 30 days	R3
<b>Contractual Records</b>					
Contract - signed (also see under Legal Records - other contracts, retention code D4)	6 Years after expiry		Dispose 6 Years after conclusion of contract	Dispose 6 Years after conclusion of contract	S1
<b>Contract Operation and Monitoring Records</b>					
Reports from contractors			Dispose 6 Years after conclusion of contract	Dispose 6 Years after conclusion of contract	S2
Schedules of works			Dispose 6 Years after conclusion of contract	Dispose 6 Years after conclusion of contract	S3
Records of complaints			Dispose 6 Years after conclusion of contract	Dispose 6 Years after conclusion of contract	S4
Disputes over payment			Dispose 6 Years after conclusion of contract	Dispose 6 Years after conclusion of contract	S5
Final Accounts			Dispose 6 Years after conclusion of contract	Dispose 6 Years after conclusion of contract	S6
<b>Amendment to contracts</b>					
Changes to requirements			Dispose 6 Years after conclusion of contract	Dispose 6 Years after conclusion of contract	S7

Forms of variation			Dispose 6 Years after conclusion of contract	Dispose 6 Years after conclusion of contract	S8
<b>Contractual Records</b>					
Amendment to contracts cont.					
Extensions to contract			Dispose 6 Years after conclusion of contract	Dispose 6 Years after conclusion of contract	S9
<b>Re-use of Public Sector Information (PSI) Records</b>					
FSA Re-use of Public Sector Information (PSI) Policy and related documents			Review content 7 years from year of creation or when policy has been superceded with view to disposing the records	7 Years	T1
Re-use of Public Sector Information (PSI) Retention and Disposal Records			Retain permanently	Retain permanently	T2
<b>Re-use of Public Sector Information Records</b>					
Records of Individual Re-use of Public Sector Information (PSI) requests, records relating to decisions about releasing or withholding information.			If a request for Internal Review has not been received dispose 3 years after date of final response.	Dispose 3 Years after the date of the final response	T3
<b>Re-use of Public Sector Information (PSI) Internal Review Records</b>					
Records of Individual Re-use of Public Sector Information (PSI) Internal Review requests			If no further request for appeal Dispose 4 Years after the date of the Internal Review response	If no further request for appeal Dispose 4 Years after the date of the Internal Review response	T4
<b>Environmental Information Regulations (EIR) Records</b>					
FSA EIR Policy and related documents			Review content 7 years from year of creation or when policy has been superceded with view to disposing the records	7 years	U1

FSA EIR Retention and Disposal Records			Retain permanently	Retain permanently	U2
<b>EIR requests and response records</b>					
Records of Individual EIR requests, records relating to decisions about releasing or withholding information.			If a request for Internal Review has not been received dispose 3 years after date of final response.	Dispose 3 Years after the date of the final response	U3
<b>EIR Internal Review Records</b>					
Records of Individual EIR Internal Review requests			If no further request for appeal Dispose 4 Years after the date of the Internal Review response	If no further request for appeal Dispose 4 Years after the date of the Internal Review response	U4
<b>Data Protection Act Records</b>					
FSA DP Policy and related documents			Retain permanently	Retain permanently	V1
Retention and Disposal Policy			Retain permanently	Retain permanently	V2
FSA DP queries and responses			Dispose after 2 years	Dispose after 2 years	V3
Annual Notification to the Information Commissioner – responses etc from business areas and correspondence from ICO			Dispose after 7 years	Dispose after 7 years	V4
Annual Data Protection Self Assessment Programme (SAP) – records relating to completion and outcome of SAP			Dispose after 7 years	Dispose after 7 years	V5
<b>Subject Access Requests (SAR) and response records</b>					
Records of individual SARs, records relating to decisions about releasing or withholding personal data			Dispose 2 years after date of last contact	Dispose 2 years after date of last contact	V6

Complaints from individuals regarding data protection			Dispose 2 years after date of last contact	Dispose 2 years after date of last contact	V7
Individual hybrid SAR/Freedom of Information requests			If a request for Internal Review has not been received dispose 3 years after date of final response	Dispose 3 years after the date of final response	V8
Individual hybrid SAR/Freedom of Information Internal Review requests			If no further request for appeal dispose 4 years after the date of the Internal Review response	If no further request for appeal dispose 4 years after the date of the Internal Review response.	V9
<b>Witness Statement Records</b>					
Copies of signed witness statements provided by the Information Access Team (IAT) to Enforcement Authorities (where original signed statement has been retained by Enforcement Authority) and records relating to the creation of the final statement.	N/A	N/A	Dispose 7 Years after the date of the final signed statement	Dispose 7 Years after the date of the final signed statement	W1