



TfL information and records disposal schedule: Contracts and Procurement (last updated 16 June 2015)

Purpose

The information and records disposal schedule which follows forms part of a set of corporate schedules for Transport for London (TfL). The schedules provide evidence of compliance with legislation such as the Data Protection Act 1998 and the Freedom of Information Act 2000, as well as adherence to TfL's [Information and Records Management Policy](#) and TfL's commitment to [transparency](#).

The schedules assist TfL to:

- Reduce multiple sets of identical records and data.
- Remove obsolete or inaccurate information.
- Improve business processes.
- Meet legislative compliance requirements.
- Create corporate rules for records disposal as part of new system implementation.

The schedules will be revised every two years or more frequently if required. They are generic documents covering records relating to the following functions:

Schedule	Reference
Contracts and Procurement	CP
Corporate Governance	CG
Employment and Pensions	EP
Finance	FN
Health and Safety	HS
Information Management	IM
Property and Assets	PY

Disclaimer

Any disposal schedule is by its nature a work in progress; it may be incomplete due to time restraints or complete at the time of publication but require amendments, additions and deletions at a future date.

Note on records disposal

There are only two ways to dispose of records:

- Destroy them at a given time *or*
- Keep them permanently as part of TfL's historical record.

Records of permanent value should be transferred to the [TfL Corporate Archives](#). Hard copy (paper) records and information on portable digital media which have to be kept for a period of time before destruction (e.g. longer than 1 year after closure) should be transferred to the [TfL Records Stores](#).

Destruction of records in accordance with the provisions of this schedule will be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation.

Scope

- The schedule below covers generic records relating to contracts and procurement, including projects records.
- For legal documents and records relating specifically to new buildings, structures and improvements projects see the [Property and Assets](#) records disposal schedule.
- For records relating to contracts of employment see the [Employment and Pensions](#) records disposal schedule.
- For financial records relating to contracts and procurement, see the [Finance](#) records disposal schedule.
- For records of local projects where contracts are not a factor, refer to the relevant business unit-specific records disposal schedule.

The provisions of the schedule are to be applied to data in all formats (electronic or paper) and in all storage locations, whether active or inactive, other than to information stored on backup tapes or discs, which are subject to a different set of disposal rules based on disaster recovery requirements, and emails held in the Symantec Enterprise Archive Vault, which has a single retention policy applied to all content once ingested into the Vault. See the *Information Management* schedule for an explanation of the retention rules applied to backup tapes or discs and the 'email archive'.

The Schedule: Contracts and Procurement (ref: CP)

Contents

- CP1 [Contracts and procurement policies/procedures](#)
 CP2 [Contracts operation and monitoring](#)
 CP3 [Project management](#)
 CP4 [Specification and tender development](#)

Abbreviations

- OJEU Official Journal of the European Union
 PMO Project Management Office
 SLA Service Level Agreement
 SQE Safety, Quality and Environment
 TNA The National Archives
 UK United Kingdom

TfL information and records disposal schedule: Contracts and Procurement (last updated 16 June 2015; version 3.0)										
Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
CP1. Contracts and procurement policies/procedures										
CP1.1	Procurement guidelines and handbooks	Providing advice to the business	Electronic	Commercial	-	As superseded	-	Destroy	UK best practice	
CP2. Contracts operation and monitoring										
CP2.1	Software and hardware licences	External contracts management	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Termination of licence, its maintenance and the products removal from the estate	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	To ensure documentation is held for as long as maintenance contract documentation
CP2.2	Outsourced service agreements	External contracts management	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.3	Supplier accreditation process reports	External contracts management	Electronic	Commercial	-	Expiration of contract	10 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	Also as specified by SQE: 10 year retention required to allow for gradual objective evidence devaluation

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TfL information and records disposal schedule: Contracts and Procurement (last updated 16 June 2015; version 3.0)

Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
CP2.4	Due diligence files	External contracts management	Electronic	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.5	OJEU Notices	External contracts management	Electronic	Commercial	-	Expiration of contract	7 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.6	Service level agreements and internal contracts	Internal contracts management	Electronic	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of SLA or contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.7	Reports from contractors	Reporting	Email; hard copy	Commercial; project manager	-	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.8	Schedules of works	Reporting	Electronic/hard copy	Commercial; project manager	-	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.9	Surveys and inspections: equipment	Reporting	Electronic/hard copy	Commercial; project manager	-	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.10	Performance reports	Reporting	Electronic/hard copy	Commercial; project manager	Expiry of contract + 6 years Limitation Act 1980 s.5	Expiration of contract	7 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP2.11	Records of complaints	Reporting	Electronic/hard copy	Commercial	Expiry of contract + 6 years Limitation Act 1980 s.5	Expiration of contract	7 years	Destroy	To maintain a complete contractual record in the event of any legal claims	

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TfL information and records disposal schedule: Contracts and Procurement (last updated 16 June 2015; version 3.0)										
Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
CP2.12	Disputes over payment	Reporting	Electronic/hard copy	Commercial	Expiry of contract + 6 years Limitation Act 1980 s.5	Expiration of contract	7 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP3. Project management										
Any contractual documents which are generated from a project should be managed as per the rules documented in sections CP2 and CP4										
CP3.1	Project management guidelines	Project guidelines	Electronic	PMO	-	As superseded	-	May be appropriate to offer to the TfL Corporate Archives	UK best practice	
CP3.2	Project delivery records eg: <ul style="list-style-type: none"> Approved project proposals Project initiation documents Feasibility studies Project risk management strategy Plans and specifications Equipment and supplies Project board meetings Reports (including Gantt charts, quality assurance) Operating models Workshops and stakeholder meetings Project evaluation report Benefits realisation Lessons learned 	Project delivery	Electronic	Project manager	-	Completion of project	10 years (*)	Destroy	Consistent with Pathway methodology document management requirements – click for access to R0594 - Document Management for Pathway Methodology	* This retention period does not apply to core asset information delivered by a project. See the Property and Assets disposal schedule for further instruction
CP3.3	Rejected or deferred project proposals	Project proposals	Electronic TfL Document Manager or other approved repository	Project manager	-	Completion of project	5 years	Destroy	To allow for re-use	

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TfL information and records disposal schedule: Contracts and Procurement (last updated 16 June 2015; version 3.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
CP3.4	Copies of documentation from other projects	Project reference	Electronic TfL Document Manager or other approved repository	Project manager	-	Completion of project	2 years	Destroy	TNA Retention Scheduling guideline no.6: Project records	
CP4. Specification and tender development										
CP4.1	Procurement strategy / plan	Evaluating tenders	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration
CP4.2	Pre-qualification questionnaire (PQQ)	Evaluating tenders	Electronic	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP4.3	Expressions of interest forms	Evaluating tenders	Electronic	Commercial	-	Contract awarded/let or not proceeded with	3 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP4.4	Tender specification	Evaluating tenders	Electronic	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP4.5	Evaluation criteria	Evaluating tenders	Electronic	Commercial	-	Expiration of contract	7 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP4.6	Invitation to tender (ITT)	Evaluating tenders	Electronic	Commercial	-	Expiration of contract	7 years	Destroy	To maintain a complete contractual record in the event of any legal claims	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings.

TfL information and records disposal schedule: Contracts and Procurement (last updated 16 June 2015; version 3.0)

Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
CP4.7	Tender evaluations of contracts over £10,000	Evaluating tenders	Electronic	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP4.8	Tender evaluations of contracts under £10,000	Evaluating tenders	Electronic	Commercial	-	Expiration of contract	3 years	Destroy	UK best practice	
CP4.9	Unsuccessful tenders	Evaluating tenders	Electronic	Commercial	Documentation shall be kept for a period of at least 3 years from the date of award of contract Public Contracts Regulations 2015 s.84	Contract awarded	3 years	Destroy	To maintain a complete contractual record in the event of any legal claims	Retention period also allows supplier to contest any queries
CP4.10	Successful tender documents	Evaluating tenders	Electronic	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
CP4.11	Tender opening form (TLF069)	Evaluating tenders	Hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration If the TfL e-tendering system is used for the procurement this record will be held electronically

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Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
CP4.12	Final account settlements	Evaluating tenders	Electronic/hard copy	Project manager	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration Created once final value of service provided during the financial year is agreed, the Contractor is paid and the PO is closed.
CP4.13	Contract Award Recommendation	Awarding contracts	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration
CP4.14	Direct agreement	Awarding contracts	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration Required for key-subcontracts only
CP4.15	Bonds, parent company guarantees and warranties	Awarding contracts	Hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings.

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CP4.16	Single source / derogation / non-competitive transaction approvals	Awarding contracts	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration
CP4.17	Executed contracts	Awarding contracts	Hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration
CP4.18	Changes to contract requirements (including variations, extensions, compensation events)	Amending contracts	Electronic/hard copy	Commercial	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	If over the OJEU threshold signed hard copy contracts and associated documentation must be stored in the TfL Contracts Registry until expiration

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings.



TfL information and records disposal schedule: Corporate Governance (last updated 10 June 2015)

Purpose

The information and records disposal schedule which follows forms part of a set of corporate schedules for Transport for London (TfL). The schedules provide evidence of compliance with legislation such as the Data Protection Act 1998 and the Freedom of Information Act 2000, as well as adherence to TfL's [Information and Records Management Policy](#) and TfL's commitment to [transparency](#).

The schedules assist TfL to:

- Reduce multiple sets of identical records and data.
- Remove obsolete or inaccurate information.
- Improve business processes.
- Meet legislative compliance requirements.
- Create corporate rules for records disposal as part of new system implementation.

The schedules will be revised every two years or more frequently if required. They are generic documents covering records relating to the following functions:

Schedule	Reference
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Note on records disposal

There are only two ways to dispose of records:

- Destroy them at a given time *or*
- Keep them permanently as part of TfL's historical record.

Records of permanent value should be transferred to the [TfL Corporate Archives](#). Hard copy (paper) records and information on portable digital media which have to be kept for a period of time before destruction (eg longer than 1 year after closure) should be transferred to the [TfL Records Stores](#).

Destruction of records in accordance with the provisions of this schedule will be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation.

Scope

- The schedule below covers records relating to corporate governance.
- Where the *disposal action* noted is to transfer records to the TfL Corporate Archives, the specific arrangements for transfer are documented in the relevant local disposal schedule.

The provisions of the schedule are to be applied to data in all formats (electronic or paper) and in all storage locations, whether active or inactive, other than to information stored on backup tapes or discs, which are subject to a different set of disposal rules based on disaster recovery requirements, and emails held in the Symantec Enterprise Archive Vault, which has a single retention policy applied to all content once ingested into the Vault. See the *Information Management* schedule for an explanation of the retention rules applied to backup tapes or discs and the 'email archive'.

The Schedule: Corporate Governance (Ref: CG)

Contents

- CG1 [Governance administration](#)
- CG2 [Governance framework management](#)
- CG3 [Internal audit](#)
- CG4 [Risk management](#)
- CG5 [Strategic planning](#)
- CG6 [Subsidiary companies administration](#)

Abbreviations

- DPA Data Protection Act 1998
- ICSA Institute of Chartered Secretaries and Administrators
- LU London Underground
- TfL Transport for London
- TNA The National Archives

TfL information and records disposal schedule: Corporate Governance (last updated 10 June 2015; version 3.0)										
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CG1. Governance administration										
CG1.1	TfL Board agenda, minutes and papers (including briefing notes)	Managing TfL Board and policy making committees and panels	Electronic/hard copy Shared network drive, TfL website ('open' papers), TfL Corporate Archives, locked cabinet in Secretariat	Secretariat	-	Date of meeting	Signed copies and electronic masters – retain permanently in TfL Corporate Archives Spare copies – 18 months	Transfer to TfL Corporate Archives (by arrangement) Destroy	Historical value, long term business need	
CG1.2	Agenda, minutes and papers (including briefing notes): Audit & Assurance Committee; Finance & Policy Committee; Remuneration Committee	Managing TfL Board and policy making committees and panels	Electronic/hard copy Shared network drive, TfL website ('open' papers), TfL Corporate Archives, locked cabinet in Secretariat	Secretariat	-	Date of meeting	Signed copies and electronic masters – retain permanently in TfL Corporate Archives Spare copies – 18 months	Transfer to TfL Corporate Archives (by arrangement) Destroy	Historical value, long term business need	Remuneration Committee material will be held securely with restricted access permissions applied

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TfL information and records disposal schedule: Corporate Governance (last updated 10 June 2015; version 3.0)

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CG1.3	Agenda, minutes and papers (including briefing notes): Surface Transport Panel; Rail & Underground Panel; Safety, Accessibility and Sustainability Panel	Managing TfL Board and policy making committees and panels	Electronic/hard copy Shared network drive, TfL website ('open' papers), TfL Corporate Archives, locked cabinet in Secretariat	Secretariat	-	Date of meeting	Signed copies and electronic masters – retain permanently in TfL Corporate Archives Spare copies – 18 months	Transfer to TfL Corporate Archives (by arrangement) Destroy	Historical value, long term business need	
CG1.4	Lists and contact details of board, committee and panel members	Managing membership of TfL Board and policy making committees and panels	Electronic/hard copy Shared network drive, individual Member folders kept in locked cabinet in Secretariat	Secretariat	-	As superseded	-	Destroy / update (ie overwrite out-of-date contact details)	A procedure is in place to weed folders of former Members to remove certain information to conform to the DPA	
CG1.5	Terms of appointment and standing confirmation hearings	Managing membership of TfL Board and policy making committees and panels	Electronic/hard copy	Secretariat	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives (by arrangement)	Historical value, long term business need	
CG1.6	Published list of board committee and panel members	Managing membership of TfL Board and policy making committees and panels	Electronic Shared network drive, Source	Secretariat	-	Date of creation	Final versions – retain permanently in TfL Corporate Archives Destroy local versions as convenient	Transfer to TfL Corporate Archives (by arrangement)	Historical value, long term business need	
CG1.7	Published Board member's photos and biographies	Managing membership of TfL Board and policy making committees and panels	Electronic Shared network drives, TfL website	Secretariat	-	Date of creation	Final versions – retain permanently in TfL Corporate Archives Destroy local versions as convenient	Transfer to TfL Corporate Archives (by arrangement)	Historical value, long term business need	

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CG1.8	Published structure of TfL and its subordinate bodies	Publishing TfL Board and committee and panel structure	Electronic Shared network drives, Source	Secretariat	-	Date of creation	Final versions – retain permanently in TfL Corporate Archives <i>Destroy local versions as convenient</i>	Transfer to TfL Corporate Archives (by arrangement)	Historical value, long term business need	
CG1.9	Meetings correspondence	Managing documentation for meetings	Electronic Shared network drive	Secretariat	-	Action completed	5 years	Destroy	UK best practice	
CG1.10	Corporate meetings calendar	Managing documentation for meetings	Electronic Shared network drive, Source	Secretariat	-	Action completed	Shared network drive copies – 5 years	Destroy	To tie in with retention of meetings correspondence and support on-going scheduling of meetings	
CG1.11	Sealing Registers	To comply with Company Secretarial UK best practice by maintaining a record of company seals being applied	Hard copy Locked cabinet in Secretariat	Secretariat	-	Date of last entry	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives (by arrangement)	Historical value	
CG1.12	Sealing request forms	To establish that correct authority has been given under Standing Orders for entering into the contract	Electronic/hard copy Shared network drive, locked cabinet in Secretariat	Secretariat	-	Expiry or termination of related deed	13 years	Destroy	To tie in with retention period for contracts executed as a deed	
CG1.13	Leadership Team agenda, minutes and papers	Review and approval of items of a strategic and pan-TfL nature	Electronic/hard copy	Customer Experience, Marketing and Communications	-	Date of meeting	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives (by arrangement)	Historical value, long term business need	
CG2. Governance framework management										

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CG2.1	Standing Orders	Developing TfL's corporate governance structure and rules	Electronic/hard copy TfL website, Source, shared network drive	Secretariat	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer hard copies to TfL Corporate Archives as convenient and digital versions on creation (by arrangement)	Historical value and legal need if legitimacy of action challenged	
CG2.2	Secondary legislation made by TfL <i>Orders made by TfL with powers conferred by primary legislation</i>	Developing TfL's corporate governance structure and rules	Electronic/hard copy	Public and Regulatory Law Team	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer hard copies to TfL Corporate Archives as convenient and digital versions on creation (by arrangement)	Historical value and to ensure there is a complete record of secondary legislation made by TfL	
CG2.3	Primary legislation promoted by TfL <i>Legislation promoted in parliament by TfL</i>	Developing TfL's corporate governance structure and rules	Electronic/hard copy	Public and Regulatory Law Team	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer hard copies to TfL Corporate Archives as convenient and digital versions on creation (by arrangement)	Historical value and to ensure there is a complete record of laws promoted by TfL	
CG2.4	Bills as deposited in Parliament	Developing TfL's corporate governance structure and rules	Electronic	Public and Regulatory Law Team	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives on creation (by arrangement)	Historical value and to ensure there is a complete record of laws promoted by TfL	
CG2.5	Instructions to agents for development of primary legislation promoted by TfL	Developing TfL's corporate governance structure and rules	Electronic/hard copy	Public and regulatory Law Team	-	Date of creation	Retain permanently	Transfer to TfL Corporate Archives (by arrangement)	Historical value and to ensure there is a complete record of laws promoted by TfL	
CG2.6	Code of Conduct	Developing TfL's corporate governance structure and rules	Electronic TfL website, Source, shared network drive	General Counsel	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives on creation (by arrangement)	Historical value and legal need if legitimacy of action challenged	
CG2.7	Code of Corporate Governance	Developing TfL's corporate governance structure and rules	Electronic TfL website, Source, shared network drive	General Counsel	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer digital versions to Corporate Archives on creation (by arrangement)	Historical/evidential value	Included as part of Annual Statement of Accounts (see item CG5.4)

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TfL information and records disposal schedule: Corporate Governance (last updated 10 June 2015; version 3.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
CG2.8	Corporate Policies	Developing TfL's corporate governance structure and rules	Electronic Source, shared network drives	All directorates	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives on creation (by arrangement)	Historical/evidential value	
CG2.9	Corporate Standards	Developing TfL's corporate governance structure and rules	Electronic Source, shared network drives	All directorates	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives on creation (by arrangement)	Historical/evidential value	
CG2.10	Corporate Gifts and Hospitality Register (including records relating to TfL Board members, TfL subsidiary company members and applicable TfL employees)	Maintaining TfL's corporate governance structure and rules	Electronic/hard copy Shared network drive	Secretariat	-	Individual ceases to be a TfL Board member or employee	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives (by arrangement)	Historical value	
CG2.11	Declarations of interest of TfL Board members and TfL subsidiary company members	Maintaining TfL's corporate governance structure and rules	Electronic/hard copy Shared network drive, TfL website	Secretariat	-	Individual ceases to be TfL Board member	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives (by arrangement)	Historical value	
CG3. Internal audit										
CG3.1	Annual integrated assurance / audit plans and strategies	Planning the internal audit programme	Electronic Shared network drive	Internal Audit Business Support	-	Last action	6 years	Destroy (may be appropriate to offer TfL Corporate Archives before destruction)	Evidential value and to assist in forward planning as per Internal Audit Records Management Policy v2	
CG3.2	Audit working papers including engagement letters, audit programmes, testing documentation and assignment-related correspondence/ meeting notes	Planning and conducting internal audit programme	Electronic AutoAudit	Audit Managers and Internal Audit Business Support	-	Date of final report	6 years	Destroy	Evidential value and to assist in forward planning as per Internal Audit Records Management Policy v2	For details of the retention requirements for transport safety monitoring internal safety audits see the Health and Safety disposal schedule (item HS5.5)

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CG3.3	Audit reports (including interim)	Conducting internal audits	Electronic AutoAudit	Internal Audit Business Support	-	Date of final action completed	6 years	Destroy	Evidential value and to assist in forward planning as per Internal Audit Records Management Policy v2	For details of the retention requirements for transport safety monitoring internal safety audits see the Health and Safety disposal schedule (item HS5.5)
CG3.4	Outputs and working papers from fraud investigations, including data collected and associated correspondence/case notes	Conducting fraud investigations	Electronic/hard copy AutoAudit, hard copy Fraud files	Internal Audit Business Support	Limitation period for fraud related claims is 6 years from the date on which the plaintiff discovered the fraud Limitation Act 1980 s.2 and s.32	Close of proceedings (including any legal proceedings)	7 years	Destroy	Evidential value and to assist in forward planning as per Internal Audit Records Management Policy v2	
CG3.5	Manuals and guides relating to departmental procedures	Conducting internal audits and fraud investigations	Electronic Shared network drive, staff copies	Internal Audit Business Support	-	As superseded	-	Destroy	Evidential value and to assist in forward planning as per Internal Audit Records Management Policy v2	
CG3.6	Correspondence eg management letters, advice and consultancy (non-audit assignment/ investigation specific)	Maintaining relationships and working practices	Electronic/hard copy AutoAudit, shared network drive	Internal Audit Business Support	-	Last action	3 years	Destroy	Evidential value and to assist in forward planning as per Internal Audit Records Management Policy v2	
CG3.7	Minutes and papers of meetings, including Audit and Assurance Committee papers (non-audit assignment/ investigation specific)	Maintaining relationships and working practices	Electronic/hard copy Shared network drive, IA Library	Internal Audit Business Support	-	Last action	1 year	Destroy	Evidential value and to assist in forward planning as per Internal Audit Records Management Policy v2	Disposal of Audit Committee minutes and papers is covered in section CG1 of this schedule
CG4. Risk management										

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TfL information and records disposal schedule: Corporate Governance (last updated 10 June 2015; version 3.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
CG4.1	Corporate risk management strategy	Developing and reviewing risk management policy and strategy	Electronic/hard copy	Finance	-	As superseded	5 years	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.2	Corporate risk management plan	Developing and reviewing risk management strategy	Electronic/hard copy	Finance	-	As superseded	5 years	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.3	Strategic risk map	Developing and reviewing risk management strategy	Electronic/hard copy	Finance	-	As superseded	5 years	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.4	Corporate risk analysis	Identifying, assessing and reviewing business risk	Electronic/hard copy	Finance	-	As superseded	5 years	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.5	Corporate risk impact assessment	Identifying, assessing and reviewing business risk	Electronic/hard copy	Finance	-	As superseded	5 years	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.6	Corporate risk register	Identifying, assessing and reviewing business risk	Electronic Active Risk Manager database	Finance	-	As superseded	5 years	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.7	Risk management procedures	Developing and reviewing risk management strategy	Electronic/hard copy	Finance	-	As superseded	5 years	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.8	Risk management group agenda, minutes and papers (legacy)	Developing and reviewing risk management strategy	Electronic/hard copy	Corporate Governance	-	Date of meeting	5 years	Destroy	UK best practice	Corporate Governance now disbanded
CG4.9	Local risk management strategy	Identifying, assessing and reviewing business risk	Electronic Shared network drives, local databases	Business areas; project managers	-	As superseded	1 year	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.10	Local risk registers	Identifying, assessing and reviewing business risk	Electronic Shared network drives, local	Business areas; project managers	-	As superseded	1 year	Destroy	JISC Records Retention Schedule – Risk Management	

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TfL information and records disposal schedule: Corporate Governance (last updated 10 June 2015; version 3.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
CG4.11	Local risk management plans	Identifying, assessing and reviewing business risk	Electronic Shared network drives, local	Business areas; project managers	-	As superseded	1 year	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.12	Local risk impact assessments	Identifying, assessing and reviewing business risk	Electronic Shared network drives	Business areas	-	As superseded	1 year	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.13	Contingency plans	Development and testing of disaster prevention, response and recovery plans	Electronic/hard copy Shared network drives	Business areas	-	As superseded	1 year	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.14	Business recovery plans	Development and testing of disaster prevention, response and recovery plans	Electronic/hard copy Shared network drives	Business areas	-	As superseded	1 year	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.15	Disaster plans	Development and testing of disaster prevention, response and recovery plans	Electronic/hard copy Shared network drives	Business areas	-	As superseded	1 year	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.16	Emergency planning exercises documentation	Development and testing of disaster prevention, response and recovery plans	Electronic/hard copy Shared network drives	Business areas	-	As superseded	1 year	Destroy	JISC Records Retention Schedule – Risk Management	
CG4.17	Emergency contacts – external agencies	Development and testing of disaster prevention, response and recovery plans	Electronic/hard copy Shared network drives	Business areas	-	As superseded	-	Destroy / update (ie overwrite out-of-date contact details)	UK best practice	
CG4.18	Emergency contacts – staff	Development and testing of disaster prevention, response and recovery plans	Electronic/hard copy Shared network drives	Business areas	-	As superseded	-	Destroy / update (ie overwrite out-of-date contact details)	UK best practice	

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TfL information and records disposal schedule: Corporate Governance (last updated 10 June 2015; version 3.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
CG4.19	Vital records schedules	Identification and protection of vital information resources	Electronic/hard copy Shared network drives	Business areas	-	As superseded	-	Destroy	UK best practice	
CG4.20	Information assets registers	Identification and protection of vital information resources	Electronic Shared network drives	Business areas	-	As superseded	-	Destroy	UK best practice	
CG5. Strategic planning										
CG5.1	Corporate Plans – Surface and Rail and Underground	Definition of strategic goals and objectives and formulation of plans to achieve these goals and objectives	Electronic/hard copy	Managing Directors office	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer digital versions to TfL Corporate Archives on creation (by arrangement)	Historical/evidential value	
CG5.2	Strategic plans – Surface and Rail and Underground	Definition of strategic goals and objectives and formulation of plans to achieve these goals and objectives	Electronic/hard copy	Managing Directors office	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer digital versions to TfL Corporate Archives on creation (by arrangement)	Historical/evidential value	
CG5.3	Business plans	Definition of strategic goals and objectives and formulation of plans to achieve these goals and objectives	Electronic Published on TfL website	Finance	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer digital versions to TfL Corporate Archives on creation (by arrangement)	Historical/evidential value	
CG5.4	Annual Report and Statement of Accounts	Definition of strategic goals and objectives and formulation of plans to achieve these goals and objectives	Electronic Published on TfL website	Finance; Customer Experience, Marketing and Communications	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer digital versions to TfL Corporate Archives on creation (by arrangement)	Historical/evidential value	The Annual report is written by Marketing and Communications, and the Statement of Accounts (administered by Finance) is annexed to the report.

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TfL information and records disposal schedule: Corporate Governance (last updated 10 June 2015; version 3.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
CG5.5	Commissioner's Reports	Provide an overview of major issues and developments since the last meeting of the TfL Board, and update the Board on significant projects and initiatives	Electronic/hard copy	Customer Experience, Marketing and Communications	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer digital versions to TfL Corporate Archives on creation (by arrangement)	Historical/evidential value	
CG5.6	Organisation charts	Planning and implementation of organisational and cultural change, and analysis of its impact	Electronic/hard copy	HR	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer digital versions to TfL Corporate Archives on creation (by arrangement)	Historical/evidential value	
CG5.7	Local organisation charts	Showing organisational structure	Electronic Shared network drives	Business areas	-	As superseded	-	Destroy / update (ie overwrite out-of-date details)	UK best practice	
CG6. Subsidiary companies administration										
CG6.1	Agenda, minutes and papers (including briefing notes): meetings of directors of TfL subsidiary companies (London Transport Guernsey Ltd; Transport Trading Ltd; TfL Trustee Company Ltd and their subsidiaries)	Required under the Companies Act 2006 s.248 and 355	Electronic/hard copy	Secretariat	Minutes to be kept for 10 years from date of meeting Companies Act 2006 s.248 and 355	Date of meeting	Signed copies and electronic masters – retain permanently in TfL Corporate Archives Spare copies – 18 months	Transfer to TfL Corporate Archives (by arrangement) Destroy	Historical value, long term business need	
CG6.2	Agenda, minutes and papers (including briefing notes): meetings of general meetings of TfL subsidiary companies	Required under the Companies Act 2006 s.248 and 355	Electronic/hard copy	Secretariat	Minutes to be kept for 10 years from date of meeting Companies Act 2006 s.248 and 355	Date of meeting	Signed copies and electronic masters – retain permanently in TfL Corporate Archives Spare copies – 18 months	Transfer to TfL Corporate Archives (by arrangement) Destroy	Historical value, long term business need	

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TfL information and records disposal schedule: Corporate Governance (last updated 10 June 2015; version 3.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
CG6.3	Record of statutory written resolutions of the company	Required under the Companies Act 2006 s.355	Electronic/hard copy	Secretariat	Resolutions to be kept for 10 years from date of resolution Companies Act 2006 s.355	Date of resolution	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives (by arrangement)	Historical value, long term business need	May be kept as a sub-set of the minutes
CG6.4	Register of Directors and Secretaries	Required under the Companies Act 2006 s.162 and 275	Electronic/hard copy	Secretariat	-	Date of last entry	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives (by arrangement)	Historical value, long term business need	
CG6.5	Register of Directors' interests in shares and debentures	Formerly required under the Companies Act 1985 ss.324-9	Electronic/hard copy	Secretariat	-	Date of last entry	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives (by arrangement)	Historical value, also as recommended by ICSA	May be kept as a sub-set of the minutes
CG6.6	Register of Directors' interests in transactions or arrangements	Requirement under the Companies Act 2006 s.177	Electronic/hard copy	Secretariat	-	Date of last entry	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives (by arrangement)	Historical value; also as recommended by ICSA	May be kept as a sub-set of the minutes
CG6.7	Register of debentures or loan stock holders	Requirement under the Companies Act 2006 s.743	Electronic/hard copy	Secretariat	Time limit for claims arising from entry in register is not enforceable more than 10 years after the date the entry was made or deleted Companies Act 2006 s. 748	Date of last entry	11 years	Destroy		
CG6.8	Register of charges	Requirement under the Companies Act 2006 s.876	Electronic/hard copy	Secretariat	-	Date of last entry	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives on demise of company (by arrangement)	Historical value	
CG6.9	Copies of charge instruments or copy of one debenture of a series required to be made available for inspection	Requirement under the Companies Act 2006 s.875	Electronic/hard copy	Secretariat	-	Date of last entry	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives on demise of company (by arrangement)	Historical value	

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CG6.10	Register of Members	Requirement under the Companies Act 2006 ss.113-115	Electronic/hard copy	Secretariat	Records may be removed from the register 10 years after membership ceases Companies Act 2006 s. 121	Date of last entry	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives (by arrangement)	Historical value	
CG6.11	Certificate of incorporation	Requirement under the Companies Act 2006 s.15	Electronic/hard copy	Secretariat	-	Date of certificate	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives on demise of company (by arrangement)	Historical value; also as recommended by ICSA	
CG6.12	Certificate of change of company name	Requirement under the Companies Act 2006 s.80	Electronic/hard copy	Secretariat	-	Date of certificate	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives on demise of company (by arrangement)	Historical value; also as recommended by ICSA	
CG6.13	Memoranda and Articles of Association	Requirement under the Companies Act 2006 s.32	Electronic/hard copy	Secretariat	-	Date of creation	Retain one version of each permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives on demise of company (by arrangement)	Historical value; also as recommended by ICSA	
CG6.14	Printed copies of resolutions filed at Companies House	Requirement under the Companies Act 2006 s.32	Electronic/hard copy	Secretariat	-	Date of filing	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives on demise of company (by arrangement)	Historical value	
CG6.15	Statement of capital filed with registrar under the Companies Act 2006 s.10 and 555	Requirement under the Companies Act 2006 s.10 and 555	Electronic/hard copy	Secretariat	-	Date of filing	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives on demise of company (by arrangement)	Historical value	
CG6.16	Other constitutional documents which may need to be supplied to Members under the Companies Act 2006 s.32	Requirement under the Companies Act 2006 s.32	Electronic/hard copy	Secretariat	-	Date of creation	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives on demise of company (by arrangement)	Historical value	

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CG6.17	Copies of any other statutory returns filed at Companies House in respect of filed documents	Requirement under the Companies Act 2006 s.32	Electronic/hard copy	Secretariat	-	Date of filing	Retain permanently in TfL Corporate Archives	Transfer to TfL Corporate Archives on demise of company (by arrangement)	Historical value	
CG6.18	Acknowledgements of receipt issued by Companies House in respect of filed documents	To keep a record of documents filed	Electronic/hard copy	Secretariat	-	Confirmation of entry on Companies House file	-	Destroy	As recommended by ICSA	
CG6.19	Published list of Directors and Secretaries	Public relations	Electronic Source	Secretariat	-	Date of creation	Final versions – retain permanently in TfL Corporate Archives <i>Destroy local versions as convenient</i>	Transfer to TfL Corporate Archives (by arrangement)	Historical value, long term business need	
CG6.20	Companies' organisational chart	Public relations	Electronic Source	Secretariat	-	Date of creation	Final versions – retain permanently in TfL Corporate Archives <i>Destroy local versions as convenient</i>	Transfer digital versions to TfL Corporate Archives (by arrangement)	Historical/evidential value	

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Purpose

The information and records disposal schedule which follows forms part of a set of corporate schedules for Transport for London (TfL). The schedules provide evidence of compliance with legislation such as [data protection legislation](#) and the Freedom of Information Act 2000, as well as adherence to TfL's [Information and Records Management Policy](#) and TfL's commitment to [transparency](#).

The schedules assist TfL to:

- Reduce multiple sets of identical records and data.
- Remove obsolete or inaccurate information.
- Improve business processes.
- Meet legislative compliance requirements.
- Create corporate rules for records disposal as part of new system implementation.

The schedules will be revised every two years or more frequently if required. They are generic documents covering records relating to the following functions:

Schedule	Reference
Contracts and Procurement	CP
Corporate Governance	CG
Employment and Pensions	EP
Finance	FN
Health and Safety	HS
Information Management	IM
Property and Assets	PY

Disclaimer

Any disposal schedule is by its nature a work in progress; it may be incomplete due to time restraints or complete at the time of publication but require amendments, additions and deletions at a future date.

Note on records disposal

There are only two ways to dispose of records:

- Destroy them at a given time *or*
- Keep them permanently as part of TfL's historical record.

Records of permanent value should be transferred to the [TfL Corporate Archives](#). Hard copy (paper) records and information on portable digital media which have to be kept for a period of time before destruction (eg longer than 1 year after closure) should be transferred to the [TfL Records Stores](#).

Destruction of records in accordance with the provisions of this schedule will be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation.

Scope

- The schedule below covers records relating to employment and pensions. It is divided into 3 parts:
 - Part 1: Employee record
 - Part 2: Employment administration
 - Part 3: Pensions administration and liaison
- For records relating to the processing of any payments received from staff, see the Finance information and records disposal schedule.

The provisions of the schedule are to be applied to data in all formats (electronic or paper) and in all storage locations, whether active or inactive, other than to information stored on backup tapes or discs, which are subject to a different set of disposal rules based on disaster recovery requirements, and emails held in the Symantec Enterprise Archive Vault, which has a single retention policy applied to all content once ingested into the Vault. See the *Information Management* schedule for an explanation of the retention rules applied to backup tapes or discs and the 'email archive'.

The Schedule: Employment and Pensions (Ref: EP)

Contents

EP1	Employee record
EP2	Employment administration
EP3	Pensions administration and liaison

Abbreviations and definitions

AMH	Accredited Manager for harassment
AP	Asset Performance (LU)
COO	Chief Operating Officer (LU)
CPD	Continuing Professional Development
CV	Curriculum Vitae
DAMSP	Drugs Alcohol Medical Screening Programme
DBS	Disclosure and Barring Service
DSE	Display Screen Equipment
ER	Employee Relations
ET	Employment Tribunal
HA	Harassment Advisor
HR	Human Resources
HRBP	HR Business Partner
H&S	Health and Safety
HSE	Health, Safety and Environment
ICSA	Institute of Chartered Secretaries and Administrators
Intrinsic	Staff travel database
JEM	Job evaluation tool (Job Evaluation Management)
LDI	Local disciplinary interview
LU	London Underground
LUL	London Underground Limited
NOL	Network Operational Learning
OH	Occupational Health
P&D	Performance and development
PIP	Performance Improvement Plan
PMA	People Management Advisor
PRP	Performance related pay
PRT	Pay Review Tool
SAP	Systems, Applications and Products in Data Processing system
SAP EIC	SAP employee case management system
SAP R3	SAP employee file storage system
SMRF	Senior Manager reward framework
TA	Territorial Army
Talent Innovations 360	360 degree survey tool that is being used to support Senior Manager development
Taleo	Employee recruitment system
TfL	Transport for London
TUPE	Transfer of Undertakings (Protection of Employment) Regulations 2006
VS	Voluntary Severance

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Note in relation to the destruction of hardcopy documents

HR regularly scan hard copy documents, with the resulting scans being held on either SAP (EIC or R3) or Taleo. The hard copy is kept for a limited time post scanning:

- SAP EIC and R3 documents – hard copy is destroyed 1 month after scanning.
- Taleo documents – hard copy is destroyed as soon as quality assurance processes are complete (ie the document is checked on the system). This could be 1 day after the scanning is complete.

Where the below schedule refers to Line Managers holding some documents under their control – wherever possible information should be held electronically. Hard copies should be scanned, then the scanned image should be checked for quality and the paper then destroyed. For more information on the management of locally held employee information click [here](#).

Part 1: Employee record (Ref: EP1)

Note: maintenance, processing and disposal of the employee record must comply with the terms of relevant [data protection legislation](#)

- EP1.1 [Applications](#)
- EP1.2 [Appointments](#)
- EP1.3 [Attendance and absence](#)
- EP1.4 [Benefits](#)
- EP1.5 [Grievances and disciplinary](#)
- EP1.6 [Health](#)
- EP1.7 [Learning and development](#)
- EP1.8 [Pay and reward](#)
- EP1.9 [Performance](#)
- EP1.10 [Termination of employment](#)
- EP1.11 [Organisational change](#)

TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)										
Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
EP1.1 Applications										
EP1.1.1	Job description / risk matrix (successful candidate)	Documenting the application process for individual candidates	Electronic Taleo; SAP EIC; SAP R3; JEM	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	
EP1.1.2	Application form (successful candidate)	Documenting the application process for individual candidates	Electronic/hard copy* Taleo	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.3	CV (successful candidate)	Documenting the application process for individual candidates	Electronic/hard copy* Taleo	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings.

TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP1.1.4	Job offer letters (successful candidate)	Documenting the application process for individual candidates	Electronic/hard copy* SAP R3	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.5	Photographs and signatures (successful candidate)	Documenting the application process for individual candidates	Electronic/hard copy* SAP R3; Taleo	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.6	Interview feedback – decision matrix form sent by Manager (successful candidate)	Documenting the application process for individual candidates	Electronic/hard copy* Shared network drive	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.7	Assessment documents completed by candidate (successful candidate)	Documenting the application process for individual candidates	Electronic/hard copy* Taleo	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.8	Reasonable adjustments correspondence and supporting documentation (successful candidate)	Documenting the application process for individual candidates	Electronic SAP EIC; Taleo	HR; Managers	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	
EP1.1.9	Preference forms (successful candidate)	Documenting the application process for individual candidates	Electronic/hard copy* SAP EIC; Taleo	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3

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TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP1.1.10	References (successful candidate)	Documenting the application process for individual candidates	Electronic/hard copy* SAP R3; Taleo	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.11	Declaration of consent (successful candidate)	Documenting the application process for individual candidates	Electronic/hard copy* Taleo	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.12	Job application / CV (internal unsuccessful candidate)	Documenting job applications by existing employees	Electronic/hard copy* Taleo	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.13	Completed assessment documents (internal unsuccessful candidate)	Documenting job applications by existing employees	Electronic/hard copy* Taleo; shared network drive	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.14	Feedback / evaluation from Manager (internal unsuccessful candidate)	Documenting job applications by existing employees	Electronic/hard copy* Taleo	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.15	Complaints (internal unsuccessful candidate)	Documenting job applications by existing employees	Electronic/hard copy* Taleo	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3

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TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP1.1.16	Preference forms (internal unsuccessful candidate)	Documenting job applications by existing employees	Electronic/hard copy* Taleo; shared network drive	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.17	Rejection letters (internal unsuccessful candidate)	Documenting job applications by existing employees	Electronic/hard copy* Taleo	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.18	Request for feedback (internal unsuccessful candidate)	Documenting job applications by existing employees	Electronic/hard copy* Taleo	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.19	Interview Notes (internal unsuccessful candidate)	Documenting job applications by existing employees	Electronic/hard copy* Taleo	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.20	Visa expiry confirmation (successful candidate)	Employment screening	Electronic/hard copy* SAP R3	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.21	Copy of driving licence (successful candidate)	Employment screening	Electronic/hard copy* SAP	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3

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TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP1.1.22	Birth certificate (successful candidate)	Employment screening	Electronic/hard copy* SAP R3	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.23	Marriage and civil partnership certificate (successful candidate)	Employment screening	Electronic/hard copy* SAP	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.24	Copy of passport (successful candidate)	Employment screening	Electronic/hard copy* SAP R3	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.25	Proof of right to work (successful candidate)	Employment screening	Electronic/hard copy* SAP R3	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.1.26	Confirmation that DBS and Counter Terrorist check has been made (successful candidate)	Employment screening	Electronic SAP R3	HR	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	Information Commissioner's Data Protection Code of Practice: Employment Practice Code s.1.7.4 requires that any records of DBS checks are destroyed once verified. The TfL record is simply a confirmation of outcome

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings.

TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP1.1.27	Employment screening records (eg reference checks) (successful candidate)	Employment screening	Electronic/hard copy* SAP R3	HR	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 Information Commissioner's Data Protection Code of Practice: Employment Practice Code s.1.7.2 requires that any vetting checks are destroyed once verified. The TfL record is simply a confirmation of outcome
EP1.1.28	Basic candidate disclosure reports (where issues have been identified) <i>A basic disclosure check is processed for every candidate, unless there is a requirement for a standard or enhanced DBS check</i>	Employment screening	Electronic Shared network drive	HR	-	Date of creation	6 months	Destroy	To support standard recruitment processes	Reports are generated by TfL's employment screening partner, Sterling Backcheck, and uploaded to a secure portal for download by TfL
EP1.2 Appointments										
EP1.2.1	Extension to fixed term contract letters	Documenting conditions of employment	Electronic/hard copy* SAP EIC; shared network drive	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.2	Contracts: terms and conditions of employment and variations (s22)	Documenting conditions of employment	Electronic/hard copy* SAP; shared network drive	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3

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Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP1.2.3	Acknowledgement of variations (s23)	Documenting conditions of employment	Electronic/hard copy* SAP EIC; shared network drive	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.4	Transfer to TfL under TUPE regs 1981 (s22)	Documenting conditions of employment	Electronic/hard copy* SAP EIC; shared network drive	HR; HRBP; Managers	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.5	LUL to TfL employment confirmation letter (s22)	Documenting conditions of employment	Electronic/hard copy* SAP EIC; shared network drive	HR; Managers	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.6	Flexible working documents	Documenting conditions of employment	Electronic/hard copy* SAP EIC	HR; Managers	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.7	Transfer and secondment letters (F243)	Documenting conditions of employment	Electronic/hard copy* SAP EIC; SAP R3; shared network drive	HR; HRBP; Managers	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 <i>Local copies held by HRBPs will be destroyed once added to SAP</i>
EP1.2.8	Pay and condition query records	Documenting conditions of employment	Electronic/hard copy* SAP EIC	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3

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Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP1.2.9	Probationary period completion letter	Documenting conditions of employment	Electronic/hard copy* SAP EIC; shared network drive	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.10	Probationary period extension letter	Documenting conditions of employment	Electronic/hard copy* SAP EIC; shared network drive	HR; Managers	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.11	Employment status / displacement letter	Documenting conditions of employment	Electronic/hard copy* SAP EIC; shared network drive	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.12	LU Operations confirmation of movement	Documenting conditions of employment	Electronic/hard copy* SAP EIC; shared network drive	LU Operations; Managers	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.13	Higher pay duty	Documenting conditions of employment	Electronic/hard copy* SAP EIC; shared network drive	HR; Managers	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.14	Bank details change form	Documenting changes to employees' personal details	Electronic/hard copy* SAP EIC	HR; Finance	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3

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Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP1.2.15	Personal status updates	Documenting changes to employees' personal details	Electronic/hard copy* SAP EIC	HR	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.16	Next of kin details	Documenting changes to employees' personal details	Electronic/hard copy* SAP EIC	HR	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.17	Emergency contact details	Documenting changes to employees' personal details	Electronic/hard copy* SAP EIC	HR; Managers	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.18	Change of details application form (for travel card purposes)	Documenting changes to employees' personal details	Hard copy	HR	-	Update made on system	-	Destroy	To support standard business process	
EP1.2.19	Working time opt-out forms	Documenting conditions of employment	Electronic/hard copy* SAP EIC	HR	Records to be kept for 2 years after opt-out has been rescinded or ceases to apply Working Time Regulations 1998 s.9	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.20	Opted-out workers' timesheets	Documenting conditions of employment	Electronic/hard copy* SAP EIC	HR	Records to be kept for 2 years after opt-out has been rescinded or ceases to apply Working Time Regulations 1998 s.9	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.21	Contractor checklist	Documenting the contractor administration process	Electronic/hard copy* Shared network drive	HR (Non-Permanent Labour Team)	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3

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EP1.2.22	Record of assignment	Documenting the contractor administration process	Electronic/hard copy* Taleo	HR (Non-Permanent Labour Team)	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.23	Starter form from agency	Documenting the contractor administration process	Electronic/hard copy* Taleo	HR (Non-Permanent Labour Team)	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.24	Contractor variations	Documenting the contractor administration process	Electronic/hard copy* SAP EIC; shared network drive	HR (Non-Permanent Labour Team)	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.2.25	Grade progression forms and final decision letter	Documenting conditions of employment	Electronic SAP EIC; SAP R3; shared network drive	HR; HRBP	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 Local copies held by HRBPs for 1 year after final action
EP1.2.26	Grade progression portfolios	Documenting conditions of employment	Electronic/hard copy Shared network drive; locked cabinet	HRBP	-	Last action	1 year	Destroy*	To allow for appeals process	*COO HRBPs will offer return of portfolio to employee before destruction
EP1.2.27	Copies of letters prepared by HRBPs (including transfer, grade changes, salary reviews, secondments, etc)	Documenting conditions of employment	Electronic Shared network drive	HRBP	-	Letter added to SAP	-	Destroy	To keep a complete employee record and defend any legal claims	

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EP1.2.28	Employee summary record	Documenting summary employment history	Electronic SAP	HR; TfL Corporate Archives	-	Termination of employment contract	-	Transfer to TfL Corporate Archives (by arrangement)	Supports the ongoing provision of references by TfL and information is of historical value	Formal process is under discussion – ie a summary record will be held by HR for a defined period of time and then transferred to TfL Corporate Archives on a regular basis and removed from SAP
EP1.3 Attendance and absence										
EP1.3.1	Annual leave applications	Managing annual leave	Electronic SAP EIC	HR; Managers	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	
EP1.3.2	Special leave forms (including TA forms)	Documenting requests for special leave	Electronic SAP EIC	HR; Managers	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	
EP1.3.3	Maternity or paternity leave applications, including mother's MATB1 certificate and Inland Revenue SC3/SC4 forms	Documenting requests for special leave	Electronic/hard copy* SAP EIC	HR; Managers	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3, with the exception of any original documents which will be returned to the employee
EP1.3.4	Record of maternity leave and payments made	Documenting maternity leave	Electronic SAP R3	HR; Payroll	3 years after the end of the tax year in which the maternity pay period ends Statutory Maternity Pay (General) Regulations 1986, reg 26(1)	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	

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TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP1.3.5	Statutory maternity pay claim form	Documenting maternity leave	Electronic/hard copy* SAP EIC	HR; Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.3.6	Maternity or paternity leave correspondence (including 20/40 week letters and responses)	Documenting parental leave	Electronic/hard copy* SAP EIC; shared network drive	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.3.7	Adoption pension form	Documenting parental leave	Electronic/hard copy* SAP EIC; shared network drive	HR; Payroll	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.3.8	Adoption application form	Documenting parental leave	Electronic/hard copy* SAP EIC; shared network drive	HR; Payroll	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.3.9	Record of sick days and payments	Documenting sickness / absence from work or reasonable adjustments	Electronic SAP EIC	HR; Payroll; Managers	Record of sick days and payments must be kept for 3 years following the end of the tax year in which the benefit was made Statutory Sick Pay (General) Regulations 1982, Reg 13	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	

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EP1.3.10	Self certified medical certificates	Documenting sickness / absence from work or reasonable adjustments	Hard copy	Managers	-	Entry made on Your TfL	-	Destroy		Managers should destroy hard copy certificates once entry made on Your TfL
EP1.3.11	Doctors' certificates / Statements of Fitness to Work forms <i>Not to be used for maternity medical certificates or certificates relating to major injuries arising from accidents in the workplace</i>	Documenting sickness / absence from work or reasonable adjustments	Electronic/hard copy*	Managers	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.3.12	Return to work interview	Documenting sickness / absence from work or reasonable adjustments	Electronic/hard copy* Your TfL	HR	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.3.13	Medical redeployment supporting documentation (including referral)	Documenting sickness / absence from work or reasonable adjustments	Electronic/hard copy* SAP	HR (Redeployment Team)	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.4 Benefits										
EP1.4.1	Application form for season ticket loan and photocopy of season ticket	Documenting employee loans and tax free benefits	Electronic/hard copy* SAP EIC	HR; Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21	Full repayment	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.4.2	Annual railways season tickets loan form	Documenting employee loans and tax free benefits	Electronic/hard copy* SAP EIC	HR; Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21	Full repayment	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.4.3	Annual season ticket 75% reimbursement form	Documenting employee loans and tax free benefits	Electronic/hard copy* SAP EIC	HR; Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21	Full repayment	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3

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EP1.4.4	Request for assisted bicycle purchase loan	Documenting employee loans and tax free benefits	Electronic/hard copy* SAP EIC	HR; Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21	Full repayment	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.4.5	Application for emergency loan	Documenting employee loans and tax free benefits	Electronic/hard copy* SAP EIC	HR; Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21	Full repayment	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.4.6	Request for childcare voucher	Documenting employee loans and tax free benefits	Electronic/hard copy* SAP EIC	HR; Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21	Full repayment	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.4.7	Transport Benevolent Fund payment	Documenting employee loans and tax free benefits	Electronic/hard copy* SAP EIC	HR; Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21	Full repayment	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.4.8	Long Service Award	Documenting employee loans and tax free benefits	Electronic/hard copy* SAP EIC	HR; Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21	Full repayment	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.4.9	Educational Loan	Documenting employee loans and tax free benefits	Electronic/hard copy* SAP EIC	HR; Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21	Full repayment	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.4.10	Summary record of travel passes awarded	Maintaining record of all travel benefits awarded	Electronic Intrinsic	HR (Staff Travel Team)	-	Date of retirement	75 years	Destroy	To ensure continuity of benefits during retirement	
EP1.4.11	Application for personal free tickets for National Rail	Documenting travel benefits to individual employees	Electronic/hard copy SAP EIC; secure cabinet	HR (Staff Travel Team)	-	Application approved	1 year	Destroy	To support standard business process	

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EP1.4.12	Retired staff travel pass application	Documenting travel benefits to individual employees	Electronic/hard copy SAP EIC; secure cabinet	HR (Staff Travel Team)	-	Application approved	3 months	Destroy	To support standard business process	
EP1.4.13	Contractor travel pass application	Documenting travel benefits to individual employees	Electronic/hard copy Secure cabinet	HR (Staff Travel Team)	-	Application approved	3 months	Destroy	To support standard business process	
EP1.4.14	Status pass application	Documenting travel benefits to individual employees	Electronic Email mailbox	HR (Staff Travel Team)	-	Application approved	3 months	Destroy	To support standard business process	
EP1.4.15	Oystercard application forms (including nominee Oystercard)	Documenting travel benefits to individual employees	Electronic/hard copy SAP EIC; secure cabinet	HR (Staff Travel Team)	-	Application approved	3 months	Destroy	To support standard business process	
EP1.4.16	Failed or damaged card application forms	Documenting travel benefits to individual employees	Electronic/hard copy SAP EIC; secure cabinet	HR (Staff Travel Team)	-	Application approved	3 months	Destroy	To support standard business process	
EP1.4.17	Lost or stolen Oystercard / privilege ticket replacement application form	Documenting travel benefits to individual employees	Electronic/hard copy SAP EIC; secure cabinet	HR (Staff Travel Team)	-	Date of application	2 years	Destroy	To ensure a complete annual record of individual tickets losses is available	
EP1.4.18	Privilege Ticket Authority Card application form	Documenting travel benefits to individual employees	Electronic/hard copy SAP EIC; secure cabinet	HR (Staff Travel Team)	-	Application approved	3 months	Destroy	To support standard business process	
EP1.4.19	Banking data (including receipt of monies for replacement passes)	Documenting travel benefits to individual employees	Electronic Shared network drive	HR (Staff Travel Team)	-	End of calendar year	-	Destroy	To support standard business process	
EP1.4.20	Outgoing correspondence to offenders banned from travel benefits (alphabetical)	Documenting individuals banned from using travel benefits	Hard copy Secure cabinet	HR (Staff Travel Team)	-	Date of transaction	2 years	Destroy	In line with usual retention period for customer correspondence	An entry showing that a letter has been sent is kept on Intrinsic

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EP1.4.21	Audits on TfL subsidiary companies and third party companies receiving free travel	Maintaining record of companies other than TfL which receive staff travel benefits	Electronic Shared network drive	HR (Staff Travel Team)	-	Date created	1 year	Destroy	To support standard business process	
EP1.4.22	Audits on nominee Oystercards	Documenting audit of travel benefits	Electronic/hard copy* SAP R3	HR (Staff Travel Team)	-	Completion of next audit	-	Destroy	To support standard business process	*Disposal of hard copy: see note on page 3 <i>Record of check being completed is added to SAP R3 and hard copy is scanned onto SAP EIC</i>
EP1.4.23	Private Medical insurance documents	Documenting employees' private medical insurance	Electronic/hard copy* SAP EIC	HR	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.4.24	Private medical insurance application form pay band 1-3	Documenting employees' private medical insurance	Electronic/hard copy* SAP EIC	HR	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.4.25	Private medical insurance application form pay band 4-5	Documenting employees' private medical insurance	Electronic/hard copy* SAP EIC	HR	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.4.26	Leaving the scheme forms pay band 1-3	Documenting employees' private medical insurance	Electronic/hard copy* SAP EIC	HR	-	Termination of employment contract	3 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.5 Grievances and disciplinary										
EP1.5.1	Notebooks detailing cases/meeting notes	Maintaining notes of cases / meetings	Hard copy Secure cabinet	PMA	-	Closure of matter	7 years	Destroy	In line with TfL Discipline at Work Policy and Procedure s.11	

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EP1.5.2	Confirmation of LDI oral warning	Investigating harassment, grievance or discipline complaints by or about employees	Electronic SAP EIC; shared network drive	PMA	-	Closure of matter	7 years	Destroy	In line with TfL Discipline at Work Policy and Procedure s.11	Data stored additionally on shared network drive due to issues around search on SAP EIC
EP1.5.3	LDI written warning	Investigating harassment, grievance or discipline complaints by or about employees	Electronic SAP EIC; shared network drive	PMA	-	Closure of matter	7 years	Destroy	In line with TfL Discipline at Work Policy and Procedure s.11	Data stored additionally on shared network drive due to issues around search on SAP EIC Policy states that warning is to be stored on employee file until destroyed
EP1.5.4	Final written warning	Investigating harassment, grievance or discipline complaints by or about employees	Electronic SAP EIC; shared network drive	PMA	-	Closure of matter	7 years	Destroy	In line with TfL Discipline at Work Policy and Procedure s.11	Data stored additionally on shared network drive due to issues around search on SAP EIC
EP1.5.5	Disciplinary case documentation (including disciplinary brief, fact find meeting notes, hearing meeting notes, outcome letter, appeal letter, appeal hearing notes, appeal outcome and additional documentation submitted by employee)	Documenting breaches of policy or procedures	Electronic SAP EIC; shared network drive	PMA	-	Closure of matter	7 years	Destroy	In line with TfL Discipline at Work Policy and Procedure s.11	Data stored additionally on shared network drive due to issues around search on SAP EIC
EP1.5.6	Flexible working request application refusal (including meeting invite letter, meeting notes, outcome, appeal letter, appeal meeting notes, appeal outcome letter, additional documentation provided by employee)	Maintaining record of statutory requests	Electronic SAP EIC; shared network drive	PMA	-	Closure of matter	7 years	Destroy	In line with TfL Discipline at Work Policy and Procedure s.11	Data stored additionally on shared network drive due to issues around search on SAP EIC
EP1.5.7	Grievances and Bullying and Harassment Complaints (including meeting invitation, meeting notes, investigation report including notes of meetings with other employees, outcome meeting invite, meeting notes, outcome letter, appeal letter, appeal invite, appeal meeting notes, outcome letter)	Documenting breaches of policy or procedures	Electronic SAP EIC; shared network drive	PMA; Manager	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Closure of matter	7 years	Destroy	In line with TfL Discipline at Work Policy and Procedure s.11	Data stored additionally on shared network drive due to issues around search on SAP EIC

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EP1.5.8	Unsatisfactory Probation meeting (including invite, meeting notes, outcome letter, appeal letter, appeal meeting notes and appeal outcome)	Documenting breaches of probation guidelines	Electronic SAP EIC; shared network drive	PMA	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Closure of matter	7 years	Destroy	In line with TfL Discipline at Work Policy and Procedure s.11	Data stored additionally on shared network drive due to issues around search on SAP EIC
EP1.5.9	Performance management cases (including PIPs, invite letters, correspondence, notes of meetings, outcome letter, letters of appeal)	Documenting breaches of policy or procedures	Electronic SAP EIC; shared network drive	PMA	-	Closure of matter	7 years	Destroy	In line with TfL Discipline at Work Policy and Procedure s.11	Data stored additionally on shared network drive due to issues around search on SAP EIC
EP1.5.10	Employment Tribunal case paperwork (including ET1 and ET3, acknowledgement and solicitors details. Early case assessment reports and other related documentation)	Maintaining record relating to Employment Tribunal	Electronic SAP EIC; shared network drive	PMA	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Closure of matter	7 years	Destroy	In line with TfL Discipline at Work Policy and Procedure s.11	Data stored additionally on shared network drive due to issues around search on SAP EIC
EP1.5.11	Drugs and Alcohol testing – paper copies	Maintaining record of drugs and alcohol tests	Electronic/hard copy Shared network drive; secure cabinet	Drugs and Alcohol Testers	-	Closure of matter	7 years	Destroy	In line with TfL Discipline at Work Policy and Procedure s.11	
EP1.5.12	Disciplinary investigation where manager takes no further action (LU only)	Investigating harassment, grievance or discipline complaints by or about employees	Electronic/hard copy	Managers	-	Decision made	1 year	Destroy	In line with LU Discipline at Work Support Pack	
EP1.5.13	Data transparency logs	Clarification of job purpose of employee	Electronic SharePoint	HRBP	-	Creation of log	2 years	Destroy	To allow reference to previous logs	Logs are passed to HR Customer Services Delivery
EP1.6 Health										
EP1.6.1	Pre-employment health screening record	Employment screening	Electronic/hard copy* SAP EIC; secure cabinet (Occupational Health case file)	HR; Occupational Health	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3

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EP1.6.2	Manual handling assessment	Risk assessments are required to be completed under the Management of Health and Safety at Work Regulations 1999 Reg 3	Electronic/hard copy* Local employee file	Corporate HSE; Local H&S teams; Manager; Occupational Health (if employee is referred)	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 <i>It is recommended that all individual assessments are sent to HR for scanning to the core employee file</i>
EP1.6.3	DSE assessments	Requirement under the Health & Safety (Display Screen Equipment) Regulations 1992 Reg as amended 2002	Electronic/hard copy* Local employee file	Corporate HSE; Local H&S teams; Manager; Occupational Health (if employee is referred)	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 <i>It is recommended that all individual assessments are sent to HR for scanning to the core employee file</i>
EP1.6.4	Noise exposure assessments	Requirement under the Control of Noise at Work Regulations 2005 Reg 5	Electronic/hard copy* Local employee file	Corporate HSE; Local H&S teams; Manager; Occupational Health (if employee is referred)	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 <i>It is recommended that all individual assessments are sent to HR for scanning to the core employee file</i>
EP1.6.5	Health and safety of new and expectant mothers assessments	Requirement under the Management of Health and Safety at Work Regulations 1999 Reg 3	Electronic/hard copy* Local employee file	Corporate HSE; Local H&S teams; Manager; Occupational Health (if employee is referred)	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 <i>It is recommended that all individual assessments are sent to HR for scanning to the core employee file</i>

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EP1.6.6	Health and safety of young persons at work assessments	Requirement under the Management of Health and Safety at Work Regulations 1999 Reg 3	Electronic/hard copy* Local employee file	Corporate HSE; Local H&S teams; Manager; Occupational Health (if employee is referred)	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 <i>It is recommended that all individual assessments are sent to HR for scanning to the core employee file</i>
EP1.6.7	Health assessment record of individual employees exposed to substances hazardous to health	Requirement under the Control of Substances Hazardous to Health Regulations 2002 Reg 11 (3)	Electronic/hard copy* SAP EIC; secure cabinet (Occupational Health case file)	Corporate HSE, Local H&S teams; Occupational Health	At least 40 years from date of last entry Control of Substances Hazardous to Health Regulations 2002 Reg 11 (3)	Last entry	40 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 <i>Will form part of the Occupational Health medical case file</i>
EP1.6.8	Health assessment record of individual employees exposed to noise	Requirement under the Control of Noise at Work Regulations 2005 Reg 9 (1)	Electronic/hard copy* SAP EIC; secure cabinet (Occupational Health case file)	Corporate HSE, Local H&S teams; Occupational Health	-	Termination of employment contract (unless litigation ensues)	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 <i>Will form part of the Occupational Health medical case file</i>
EP1.6.9	Health assessment record of individual employees exposed to significant doses of ionising radiation	Requirement under the Ionising Radiations Regulations (1999) (SI 1999 No. 3232) Reg 21 (1)	Electronic/hard copy* SAP EIC; secure cabinet (Occupational Health case file)	Corporate HSE, Local H&S teams; Occupational Health	Until the person to whom the record relates has or would have attained the age of 75 years or at least 50 years from date of assessment Ionising Radiations Regulations (1999) Reg 21 (3)	Date of assessment	50 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 <i>Will form part of the Occupational Health medical case file</i>

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EP1.6.10	Health assessment record of individual employees exposed to significant doses of radon	Requirement under the Ionising Radiations Regulations (1999) (SI 1999 No. 3232) Reg 21 (1)	Electronic/hard copy* SAP EIC; secure cabinet (Occupational Health case file)	Corporate HSE, Local H&S teams; Occupational Health	Until the person to whom the record relates has or would have attained the age of 75 years or at least 50 years from date of assessment Ionising Radiations Regulations (1999) Reg 21 (3)	Date of assessment	50 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 <i>Will form part of the Occupational Health medical case file</i>
EP1.6.11	Medical referrals	Documenting the health of individuals whilst employed	Electronic/hard copy Secure cabinet (Occupational Health case file); noted on SAP EIC	Occupational Health; PMA	A record of monitoring where the record is representative of the personal exposures of identifiable employees, to be kept for at least 40 years; or in other cases for 5 years Control of Substances Hazardous to Health Regulations 2002 (SI 2002 No. 2677) Reg 10 (5)	Termination of employment contract (unless litigation ensues) Or Date of creation	7 years* 40 – 50 years*	Destroy Destroy	Occupational Health recommendation to ensure parity with retention of employee record	*Retention is dependent on nature of exposure <i>Occupational Health medical case file</i>
EP1.6.12	Drug and Alcohol screening file (positive result)	Documenting the health of individuals whilst employed	Electronic/hard copy Secure cabinet (Occupational Health case file); noted on SAP EIC	Occupational Health; HR	-	Termination of employment contract (unless litigation ensues)	7 years	Destroy	Occupational Health recommendation	<i>File is only created if a positive result</i>

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EP1.6.13	DAMSP negative drug test certificate (LU)	Documenting the health of individuals whilst employed	Electronic/hard copy Secure cabinet (Occupational Health file – held separately from case file); noted on SAP EIC	Occupational Health; HR	-	Date of test	1 year	Destroy	Occupational Health recommendation	
EP1.6.14	Counselling file	Documenting the health of individuals whilst employed	Electronic/hard copy Secure cabinet (Occupational Health case file); noted on SAP EIC	Occupational Health	-	Last action Or Date of death in service	20 years 8 years	Destroy Destroy	In line with Occupational Health records disposal schedule and Department of Health guidelines	
EP1.6.15	Physiotherapy file	Documenting the health of individuals whilst employed	Electronic/hard copy Secure cabinet (Occupational Health case file); noted on SAP EIC	Occupational Health	-	Last action Or Employee's 25th birthday (if under 18)	7 years -	Destroy Destroy	In line with Occupational Health records disposal schedule	
EP1.6.16	Medical file (including health assessment records of individuals exposed to substances hazardous to health or to noise)	Documenting the health of individuals whilst employed	Electronic/hard copy Secure cabinet (Occupational Health case file); noted on SAP EIC	Occupational Health	A record of monitoring where the record is representative of the personal exposures of identifiable employees, to be kept for at least 40 years; or in other cases for 5 years Control of Substances Hazardous to Health Regulations 2002 Reg 10 (5)	Termination of employment contract (unless litigation ensues) Or Date of creation	7 years* 40 – 50 years*	Destroy Destroy	Occupational Health recommendation to ensure parity with retention of employee record	<i>Medical record will be reviewed on termination of employment to separate non-operational and operational staff, as the latter category includes individuals with potential exposure</i>

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EP1.6.17	Individual staff record of specialist health and safety training	Requirement under the Control of Substances Hazardous to Health Regulations 2002 Reg 12 where staff work with hazardous substances	Electronic/hard copy* Local employee file	Corporate HSE; Local H&S teams	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 <i>It is recommended that all individual assessments are sent to HR for scanning to the core employee file</i>
EP1.6.18	DAMSP forms	Documenting the health of individuals whilst employed	Hard copy Secure cabinet	HR (Drugs and Alcohol Team)	-	Entry made on SAP EIC by OH	-	Destroy	To support standard business process	
EP1.6.19	Drug tests reports	Documenting the health of individuals whilst employed	Hard copy Secure cabinet	HR (Drugs and Alcohol Team)	-	Entry made on SAP EIC by OH	-	Destroy	To support standard business process	
EP1.6.20	Employee drug tests and results	Documenting the health of individuals whilst employed	Electronic Shared network drive	HR (Drugs and Alcohol Team)	-	End of financial year	2 years	Destroy	To support standard business process	
EP1.7 Learning and development										
EP1.7.1	Qualification and training certificates	Maintaining record of learning and development	Electronic/hard copy* SAP EIC; SharePoint; shared network drive; ezone	HR (Learning and Development), NOL; COO & AP Training; Managers	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 <i>Ezone record is held until course is superseded</i>
EP1.7.2	Qualification and training attendance letters	Maintaining record of learning and development	Electronic/hard copy* SAP EIC; shared network drive; ezone	HR (Learning and Development), NOL; COO & AP Training; local administrators	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.7.3	Signed confirmation from employee of training attendance (legacy data no longer used by HR)	Maintaining record of learning and development	Electronic/hard copy*	Managers	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	

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EP1.7.4	Qualification and training sponsorship	Maintaining record of learning and development	Electronic/hard copy* SAP EIC; shared network drive	HR (Learning and Development)	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.7.5	Qualification and training results	Maintaining record of learning and development	Electronic/hard copy* SAP EIC; SAP R3; shared network drive; ezone	HR (Learning and Development), NOL; COO & AP Training	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.8 Pay and reward										
EP1.8.1	Bonus sacrifice forms	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	HR	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.2	Contractor timesheets	Documenting salary and allowance payments	Electronic/hard copy* SAP R3; shared network drive	HR (Non-Permanent Labour Team); Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.3	British Transport Police timesheets	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	HR; Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3

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EP1.8.4	Agency staff timesheets	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	HR (Non-Permanent Labour Team); Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.5	Miscellaneous allowance forms	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC	HR; Payroll	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.6	Copy of leavers statements sent to relatives (deceased employees)	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.7	Tax year end adjustments	Documenting salary and allowance payments	Electronic SAP EIC	Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	
EP1.8.8	Agreement to deduct from payroll (recovery of overpayment)	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3

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EP1.8.9	Application for credit payment	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.10	Court Orders	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.11	DSS Queries	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.12	Solicitor's letter re accident on duty	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.13	Recurring payments	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	HR; Finance	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3

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EP1.8.14	Union subscriptions or charity deduction cancellation to Payroll	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	HR; Finance	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.15	Overtime forms	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	HR; Finance	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.16	Email approvals from Managers (possibly historical – no longer created)	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	HR; Finance	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.17	Lump sum payments	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC; shared network drive	HR; Finance	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.18	Part 2 P45 for payroll purposes	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC	HR; Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3

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EP1.8.19	Advice special payments (eg advice to pay a non-standard payment)	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC	HR; Payroll	-	Date of change	1 year	Destroy	UK best practice	*Disposal of hard copy: see note on page 3
EP1.8.20	Paypoint changes	Documenting salary and allowance payments	Electronic/hard copy* SAP EIC	HR; Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	*Disposal of hard copy: see note on page 3
EP1.8.21	Paid item / voucher book	Documenting salary and allowance payments	Electronic/hard copy Shared network drive; data entered in SAP EIC	Payroll	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	<i>Hard copy is kept for 3 years</i>
EP1.8.22	Deduction mandates	Documenting salary and allowance payments	Electronic	HR; Finance	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	
EP1.8.23	P60 substitute	Documenting payroll and tax	Electronic Shared network drive	HR; Payroll	-	Last action	3 years	Destroy	UK best practice	
EP1.8.24	Overpayments	Documenting payroll and tax	Electronic SAP EIC	HR; Payroll	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	

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EP 1.8.25	Non Standard Performance Award Arrangements	Reporting	Electronic Shared network drive (restricted access)	HR (Reward and Recognition)	-	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	
EP 1.8.26	Recognition and Long Service Awards – details of awards given	Reporting	Electronic Shared network drive (restricted access)	HR (Reward and Recognition)	-	Last action	7 years	Destroy	To support standard business process	
EP1.8.27	Make A Difference Recognition Scheme – Email submissions	Reporting	Electronic Email mailbox (restricted access)	HR (Reward and Recognition)	-	Last action	5 years	Destroy	To support standard business process	
EP1.8.28	Royal Recognition – nomination details	Reporting	Electronic Shared network drive (restricted access); email mailbox (restricted access)	HR (Reward and Recognition)	-	Last action	5 years	Destroy	To support standard business process	
EP1.8.29	CPD retention bonus scheme (including tracker spreadsheets, planning data, invitation letters, eligibility for award forms)	Documenting provision of bonus scheme	Electronic Shared network drive	HRBP (CPD)	-	End of scheme	7 years	Destroy	To keep a complete record	Letters and forms relating to individual employees will be passed for inclusion in the core staff file Bonus schemes can last for a period of either 2, 3 or 4 years, with employees receiving an award for the duration of the scheme
EP1.8.30	SMRF Pay Review Tool (PRT)	Enabling allocation of base pay and performance awards to Senior Managers and Directors	Electronic Web based application	HR	6 years after the end of the tax year Finance Act 1998 (c.36) Sch.18 s.21 Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	Data is extracted from SAP and Oracle and uploaded to the PRT

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EP1.9 Performance										
EP1.9.1	Appraisal and personal development (P&D) forms	Documenting performance	Electronic/hard copy* Shared network drive	Managers	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Last action	3 years	Destroy	To keep a complete employee record and defend any legal claims	
EP1.9.2	Performance ratings	Documenting performance	Electronic SAP EIC; SAP R3	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	
EP1.9.3	PRP increase salary letters (S23)	Documenting performance	Electronic/hard copy* SAP EIC; shared network drive	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.9.4	Merit award	Documenting performance	Electronic/hard copy* SAP EIC	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.9.5	Long service award	Documenting performance	Electronic/hard copy* SAP EIC; shared network drive	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3

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EP1.9.6	Organisation development (including Belbin, 360 reviews)	Supporting performance review	Electronic Shared network drive; Talent Innovations 360	HRBP	-	Completion of second review (where repeat is scheduled for within 18 months) Or Completion of review (where no repeat is scheduled)	- 1 year	Destroy Destroy	To potentially allow reference to previous results	
EP1.9.7	Capability review (including final ratings)	Supporting performance review	Electronic SharePoint	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	
EP1.10 Termination of employment										
EP1.10.1	Resignation letter (F243)	Documenting the termination of employment	Electronic/hard copy* SAP EIC; shared network drive	HR; Manager	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.10.2	Employee retirement checklist	Documenting the termination of employment	Electronic/hard copy* SAP EIC	HR; Manager	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.10.3	Probationary period – termination of employment	Documenting the termination of employment	Electronic/hard copy* SAP EIC	HR; Manager	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3

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EP1.10.4	Exit interview form (F243; legacy data only)	Documenting the termination of employment	Electronic/hard copy SAP R3	HR	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	
EP1.10.5	Service termination documents	Documenting the termination of employment	Electronic/hard copy* SAP EIC	HR; Manager	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.10.6	Leavers, retirement, death in service notifications	Documenting the termination of employment	Electronic/hard copy* SAP EIC; shared network drive	HR; Manager	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.10.7	Career breaks correspondence	Documenting the termination of employment	Electronic/hard copy* SAP EIC; shared network drive	HR; Manager	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3
EP1.10.8	Voluntary severance quotes	Documenting the termination of employment	Electronic/hard copy* SAP EIC; shared network drive	HR (Redeployment); Payroll	-	End of tax year	1 year	Destroy	To support standard business process	*Disposal of hard copy: see note on page 3
EP1.10.9	Settlement / Compromise agreement	Documenting the termination of employment	Electronic/hard copy* SAP EIC; shared network drive	HR (Redeployment); Payroll	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	Termination of employment contract	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3

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EP1.11 Organisational change										
EP1.11.1	Consultation correspondence (including programme initiation and outcome letters)	Managing organisational change programmes	Electronic Shared network drive; email mailbox	HR (Organisational Change)	-	Last action (ie completion of organisational change programme)	7 years	Destroy	To keep a complete employee record and defend any legal claims	Some outcome letters are saved to SAP (eg appointment and offer letters) – see relevant items elsewhere in this schedule for retention periods applied in SAP The trigger for emails is 7 years from date of ingestion to the email archive, and not 'last action'. Therefore emails will be retained for a shorter period to information held on the shared network drive
EP1.11.2	Workshop feedback	Managing organisational change programmes	Electronic/hard copy Shared network drive; filing cabinet	HR (Organisational Change)	-	Last action (ie completion of organisational change programme)	7 years	Destroy	To keep a complete employee record and defend any legal claims	Forms are completed in hard copy and information from the form is recorded on an excel spreadsheet. Once information is electronically recorded the hard copy is destroyed
EP1.11.3	Voluntary severance quotes and application forms	Managing organisational change programmes	Electronic/hard copy* Shared network drive; filing cabinet	HR (Organisational Change)	-	Last action (ie completion of organisational change programme)	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 Application forms are received in hard copy and scanned to the shared network drive. Hard copy forms are destroyed at the end of the programme

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Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP1.11.4	Assessment and selection	Managing organisational change programmes	Electronic/hard copy* Shared network drive	HR (Organisational Change)	-	Last action (ie completion of organisational change programme)	7 years	Destroy	To keep a complete employee record and defend any legal claims	*Disposal of hard copy: see note on page 3 <i>For some organisational change programmes assessment and selection information is saved to Taleo and SAP – see relevant items elsewhere in this schedule for retention periods applied in Taleo and SAP</i>
EP1.11.5	Organisational Change - spreadsheets, org charts, reports	Maintaining information to support organisational change programmes	Electronic Shared network drive	HRBP	-	Last action	7 years	Destroy	To keep a complete employee record and defend any legal claims	
EP1.11.6	Organisational change – VS quotes, letters to employees (HRBP reference copies only)	Maintaining information to support organisational change programmes	Electronic Shared network drive	HRBP	-	Date of 'go live' for organisational change	4 weeks	Destroy	To allow for administration of appeals process	Letters will have been added to SAP

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Part 2: Employment administration (Ref: EP2)

- EP2.1 [Employee recruitment administration](#)
- EP2.2 [Employee learning and development administration](#)
- EP2.3 [Employee relations management](#)
- EP2.4 [Industrial relations management](#)
- EP2.5 [Job evaluations](#)
- EP2.6 [Workforce policy, planning and procedures](#)

TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)										
Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
EP2.1 Employee recruitment administration										
EP2.1.1	Job advertisements	Documenting the application process	Electronic/hard copy* Taleo; shared network drive	HR	-	Date of advertisement	2 years	Destroy	To assist the business in running reports relating to HR data	*Disposal of hard copy: see note on page 3
EP2.1.2	Interview schedules	Documenting the recruitment process	Electronic Taleo; shared network drive	HR	-	Completion of recruitment process	2 years	Destroy	To assist the business in running reports relating to HR data	
EP2.1.3	Recruitment shortlists	Documenting the recruitment process	Electronic Taleo; shared network drive	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Completion of recruitment process	2 years	Destroy	To assist the business in running reports relating to HR data	
EP2.1.4	Job application form / CV (external unsuccessful candidate)	Documenting the recruitment process	Electronic/hard copy* Taleo	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Last action	1 year	Destroy	To assist the business in running reports relating to HR data	*Disposal of hard copy: see note on page 3
EP2.1.5	Job description / risk matrix	Documenting the recruitment process	Electronic Taleo; shared network drive	HR	-	As superseded	-	Destroy	To assist the business in running reports relating to HR data	
EP2.1.6	Completed Assessment documents (external unsuccessful candidate)	Documenting the recruitment process	Electronic/hard copy* Taleo	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Last action	1 year	Destroy	To assist the business in running reports relating to HR data	*Disposal of hard copy: see note on page 3

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TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP2.1.7	Rejection letters (external unsuccessful candidate)	Documenting the recruitment process	Electronic/hard copy* Taleo	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Last action	1 year	Destroy	To assist the business in running reports relating to HR data	*Disposal of hard copy: see note on page 3
EP2.1.8	Pre-employment health screening notification (unsuccessful external candidate)	Documenting the recruitment process	Electronic/hard copy* Taleo	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Last action	5 years	Destroy	OH requirement to monitor and prevent fraudulent applications for safety jobs	*Disposal of hard copy: see note on page 3 Record only created where applications are for safety critical jobs
EP2.1.9	Drug and alcohol screening note (unsuccessful external candidate)	Documenting the recruitment process	Electronic/hard copy* Taleo	HR	Discrimination claims must be brought within 3 months of alleged act Equality Act 2010	Last action	5 years	Destroy	OH requirement to monitor and prevent fraudulent applications for safety jobs	*Disposal of hard copy: see note on page 3 Record only created where applications are for safety critical jobs
EP2.2 Employee learning and development administration										
EP2.2.1	Training needs analysis	Identification and assessment of training needs	Electronic/hard copy Shared network drive; secure cabinet	HR (Learning and Development); other training departments where applicable	-	Superseded	5 years	Destroy	To allow for reporting on trends	
EP2.2.2	Advice and guidance	Identification and assessment of training needs	Electronic Shared network drive; SAP EIC	HR (Learning and Development); HR (HR Services)	-	As superseded	-	Destroy	UK best practice	
EP2.2.3	Training booklets	Identification and assessment of training needs	Electronic Shared network drive	HR (Learning and Development); other training departments where applicable	-	As superseded	-	Destroy	UK best practice	

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TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)

Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
EP2.2.4	Training programmes	Advertising and delivering training	Electronic Shared network drive	HR (Learning and Development); other training departments where applicable	-	As superseded	-	Destroy	UK best practice	
EP2.2.5	Induction training programme	Advertising and delivering training	Electronic Shared network drive	HR (Learning and Development)	-	As superseded	-	Destroy	UK best practice	
EP2.2.6	Sickness absence training programme	Advertising and delivering training	Electronic Shared network drive	HR (Learning and Development)	-	As superseded	-	Destroy	UK best practice	
EP2.2.7	Lists of external trainers	Advertising and delivering training	Electronic Shared network drive	HR (Learning and Development)	-	As superseded	-	Destroy	UK best practice	
EP2.2.8	Appraisal training programme	Advertising and delivering training	Electronic Shared network drive	HR (Learning and Development)	-	As superseded	-	Destroy	UK best practice	
EP2.2.9	Course evaluation forms - data	Measuring the impact of training programmes	Electronic Shared network drive; Survey Monkey; Poll Daddy	HR (Learning and Development); other training departments where applicable	-	Completion of feedback report	-	Destroy	UK best practice	
EP2.2.10	Training feedback reports	Measuring the impact of training programmes	Electronic Shared network drive	HR (Learning and Development); other training departments where applicable	-	Date of creation	7 years	Destroy	To allow for reporting on trends	Need to check whether any personal data is included in the surveys and to ensure that external companies follow deletion rule
EP2.2.11	Lists of attendees at courses where CPD points are awarded	Monitoring CPD	Electronic Shared network drive	HR	-	Attendees awarded CPD points	-	Destroy	UK best practice	

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TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)

Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
EP2.3 Employee relations management										
EP2.3.1	Routine service and administrative complaints and enquiries (ie which do not lead to further action such as disciplinary or grievance cases)	Responding to complaints and enquiries to HR	Electronic/hard copy* SAP EIC; Taleo	HR	-	Closure of complaint	1 year	Destroy	UK best practice	*Disposal of hard copy: see note on page 3
EP2.3.2	Requests for information about current / former employees	Responding to complaints and enquiries to HR	Electronic SAP EIC	HR; Information Governance	-	Action completed	2 years	Destroy	In line with retention period implemented by Information Governance	
EP2.3.3	Subject access requests by current or former employees	Responding to complaints and enquiries to HR	Electronic SAP EIC	HR; Information Governance	-	Action completed	2 years	Destroy	In line with retention period implemented by Information Governance	
EP2.3.4	Staff attitude surveys	Monitoring the impact of employment policies on recruitment and retention of staff	Electronic Viewpoint	HR	-	Information collated and published	-	Destroy	UK best practice	
EP2.3.5	Staff newsletters	Monitoring the impact of employment policies on recruitment and retention of staff	Electronic Source (Intranet)	Communications Team	-	Date of creation	-	Transfer to TfL Corporate Archives	Historical value	
EP2.3.6	Reference requests by financial institutions	Documenting the provision of references by TfL	Electronic/hard copy* SAP EIC	HR	-	Date of creation	1 year	Destroy	UK best practice	*Disposal of hard copy: see note on page 3
EP2.3.7	Reference requests for visa applications	Documenting the provision of references by TfL	Electronic/hard copy* SAP EIC	HR	-	Date of creation	1 year	Destroy	UK best practice	*Disposal of hard copy: see note on page 3
EP2.3.8	Reference requests from external employers	Documenting the provision of references by TfL	Electronic/hard copy* SAP EIC	HR	-	Date of creation	1 year	Destroy	UK best practice	*Disposal of hard copy: see note on page 3
EP2.3.9	Employee queries received by HRBPs	Responding to complaints and enquiries to HR	Electronic Shared network drive	HRBP	-	Completion of action	2 years	Destroy	UK best practice	Letters prepared by HRBPs in response should be managed as per item EP1.2.27

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TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)

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EP2.3.10	Audio recordings of HR / employee meetings	Supporting the documenting of HR / employee meetings	Electronic Shared network drive	HR	-	Date of meeting	28 days	Destroy	Period allows substantial time for audio recording to be transcribed	
EP2.4 Industrial relations management										
EP2.4.1	Development and maintenance of relationships with trade unions	Negotiating with trade unions	Electronic/hard copy	ER	-	Last action	10 years	Destroy	To tie in with retention of labour agreements	
EP2.4.2	Liaison with trade unions on proposed changes to staffing structures and related matters	Negotiating with trade unions	Electronic/hard copy	ER	-	Last action	10 years	Destroy	To tie in with retention of labour agreements	
EP2.4.3	Negotiation with unions regarding pay and conditions	Negotiating with trade unions	Electronic/hard copy	ER	-	Last action	10 years	Destroy	To tie in with retention of labour agreements	
EP2.4.4	Labour agreements	Negotiating with trade unions	Electronic/hard copy	ER	-	Termination of agreement	10 years	Destroy	As recommended by ICSA	
EP2.4.5	Records documenting institutional recognition/ de-recognition of trades unions	Negotiating with trade unions	Electronic/hard copy	ER	Actions for breach of contract must be brought within 6 years of termination Limitation Act 1980 s.5	De-recognition	7 years	Destroy	To maintain a complete contractual record in the event of legal claims	
EP2.4.6	Letters on service queries	Dealing with queries on continuous service	Electronic Email mailbox	ER	-	Last action	7 years	Destroy	To keep a complete copy of continuous service claims	
EP2.4.7	Nominee Oyster Pass queries	Dealing with Oyster pass queries	Electronic Email mailbox	ER	-	Last action	7 years	Destroy	To keep a complete copy of continuous service claims	
EP2.4.8	Employee Contracts	Supporting solving of service queries	Electronic Email mailbox	ER	-	Last action	7 years	Destroy	To keep a copy of service conditions	<i>Original contracts stored on SAP EIC</i>

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EP2.4.9	Employee Salary information	For pay negotiations To address ad-hoc salary queries To understand any salary implications as part of change programmes	Electronic Shared network drive (restricted access)	ER	-	Last action	7 years	Destroy	To keep a copy of service conditions	Original information stored on SAP EIC
EP2.4.10	Generic employee details	For information in reorganisation	Electronic Shared network drive (restricted access)	ER	-	Last action	7 years	Destroy	In case of issues relating to organisational change	
EP2.4.11	Staff cases (Directors review)	Held in respect of matter being escalated to Director	Electronic/hard copy Shared network drive; secure cabinet	ER	-	Last action	7 years	Destroy	In cases of ongoing employment issues	
EP2.4.12	AMH / HA documentation	For providing advice / guidance in cases of bullying	Electronic/hard copy Shared network drive; secure cabinet	ER	-	Last action	7 years	Destroy	In cases of ongoing employment issues	
EP2.4.13	Trade Union membership	Information for trade union representation	Electronic/hard copy Shared network drive; secure cabinet	ER	-	Last action	7 years	Destroy	In case of issues regarding TUC membership	
EP2.4.14	Trade Union training information	To record training undertaken by TU representatives	Electronic Shared network drive	ER	-	Last action	7 years	Destroy	To keep a complete record of training undertaken	
EP2.4.15	Strike Information	Information on staff refusing to work during industrial action	Electronic/hard copy Shared network drive; secure cabinet	ER	-	Last action	7 years	Destroy	In case of ongoing issues	

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TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP2.4.16	Movement Committee minutes	To manage staff requests for advice/financial assistance	Electronic/hard copy Shared network drive; secure cabinet	ER	-	Last action	7 years	Destroy	To keep a record of when financial assistance provided	
EP2.4.17	Referral and associated Council Level minutes	A record of discussions/agreements made at meetings	Electronic/hard copy Shared network drive; secure cabinet	ER	-	Date of creation	-	Offer to TfL Corporate Archives for permanent retention	In event of issues raised regarding previous agreements Potential historical value	
EP2.4.18	Trade Union letters	Letters awaiting response on general/individual issues	Hard copy Secure cabinet	ER	-	Last action	7 years	Destroy	To refer to issues raised regarding individual issues	
EP2.4.19	P&D / Objectives	To review individual performance	Electronic Shared network drive	ER	-	Last action	2 years	Destroy	In case of queries regarding performance issues	
EP2.4.20	Staff personnel letters	Letters on individual staff issues	Hard copy Secure cabinet	ER	-	Termination of employment contract	10 years	Destroy	In case of ongoing issues	
EP2.4.21	ET Paperwork	General information on ET cases	Electronic/hard copy Shared network drive; secure cabinet	ER	-	Last action	7 years	Destroy	To review in event of ongoing issues	
EP2.5 Job evaluations										
EP2.5.1	Job descriptions: historical and current	Assessment of jobs in relation to established job evaluation criteria	Electronic SAP R3; shared network drive; JEM	HR	-	Record amended	5 years	Destroy	UK best practice	Information will be held on an individuals' core employee file for a differing retention period, in line with requirements
EP2.5.2	Person specifications	Assessment of jobs in relation to established job evaluation criteria	Electronic Taleo; SAP EIC; shared network drive	HR	-	Record amended	5 years	Destroy	UK best practice	Information will be held on an individuals' core employee file for a differing retention period, in line with requirements

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Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
EP2.5.3	Job evaluation reports and scores	Assessment of jobs in relation to established job evaluation criteria	Electronic SAP R3; shared network drive; JEM	HR	-	Record amended	5 years	Destroy	UK best practice	Information will be held on an individuals' core employee file for a differing retention period, in line with requirements
EP2.5.4	Senior management grading	Assessment of jobs in relation to established job evaluation criteria	Electronic SAP EIC; shared network drive	HR	-	Record amended	5 years	Destroy	UK best practice	Information will be held on an individuals' core employee file for a differing retention period, in line with requirements
EP2.5.5	Grading schemes	Assessment of jobs in relation to established job evaluation criteria	Electronic SAP EIC; shared network drive	HR	-	Record amended	5 years	Destroy	UK best practice	Information will be held on an individuals' core employee file for a differing retention period, in line with requirements
EP2.6 Workforce policy, planning and procedures										
EP2.6.1	Reports – non sensitive data	Reporting	Electronic SAP EIC; shared network drive	HR; HRBP	-	Last action	2 years	Destroy	UK best practice	
EP2.6.2	Reports – sensitive data	Reporting	Electronic SAP EIC; shared network drive	HR; HRBP	-	Last action	2 years	Destroy	UK best practice	
EP2.6.3	Assessment tools loans and extensions	Reporting	Electronic SAP EIC; shared network drive	HR	-	Last action	2 years	Destroy	UK best practice	
EP2.6.4	Self billing summary	Reporting	Electronic SAP EIC; shared network drive	HR	-	Last action	2 years	Destroy	UK best practice	
EP2.6.5	Benchmarking documents	Reporting	Electronic SAP EIC; shared network drive	HR	-	Last action	2 years	Destroy	UK best practice	

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TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)

Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
EP2.6.6	Terms and Conditions spreadsheet	Reporting	Electronic SAP EIC; shared network drive	HR	-	Last action	2 years	Destroy	UK best practice	
EP2.6.7	Reports (PRP / SMRF)	Reporting	Electronic SAP EIC; shared network drive	HR	-	Last action	2 years	Destroy	UK best practice	
EP2.6.8	Revenue reports	Reporting	Electronic SAP EIC; shared network drive	HR	-	Last action	2 years	Destroy	UK best practice	
EP2.6.9	Project plans for pay deals	Reporting	Electronic SAP EIC; shared network drive	HR	-	Last action	2 years	Destroy	UK best practice	
EP2.6.10	Role titles and salary data for all employees (as at various points in the year) – current and historical	Reporting	Electronic Shared network drive	HR	-	Last action	2 years	Destroy	UK best practice	
EP 2.6.11	Employee Data Reports for Equal Pay Audit	Reporting	Electronic Shared network drive (restricted access)	HR (Reward and Recognition)	-	Last action	7 years	Destroy	To support standard business process	

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Part 3: Pensions administration and liaison (Ref: EP3)

EP3.1 [Pensions administration](#)
 EP3.2 [Pensions liaison](#)

TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)										
Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP3.1 Pensions administration										
EP3.1.1	Correspondence with, and enquiries from, Fund members	Documenting the pension process	Electronic/hard copy Compendia; shared network drive	TfL Pension Fund	-	Death of beneficiary	40 years	Destroy	UK best practice to ensure a full record is kept in the event of benefits being paid to widows and dependents	
EP3.1.2	Letters from Pension Fund identifying employees that are opting out	Documenting the pension process	Electronic/hard copy Compendia; shared network drive	TfL Pension Fund	-	Receipt from TfL Pension Fund	1 year	Destroy	To support standard business process	
EP3.1.3	Opting out new members correspondence	Documenting the pension process	Electronic/hard copy Compendia; shared network drive	TfL Pension Fund	-	Receipt from TfL Pension Fund	1 year	Destroy	To support standard business process	
EP3.2 Pensions liaison										
EP3.2.1	Pensioner data	Documenting the pension process	Electronic/hard copy Compendia	TfL Pension Fund	-	As superseded	-	Destroy	No need to retain once data is out of date	
EP3.2.2	Deceased pensioner list	Documenting the pension process	Electronic/hard copy Compendia	TfL Pension Fund	-	As superseded	-	Destroy	No need to retain once data is out of date	
EP3.2.3	Pensioner representatives general enquires	Pensioner support	Electronic/hard copy Compendia	TfL Pension Fund	-	Last action	1 year	Destroy	To support standard business process	
EP3.2.4	Pensioner representatives personal details	Pensioner support	Electronic/hard copy Compendia	TfL Pension Fund	-	Cessation	6 months	Destroy	To support standard business process	

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TfL information and records disposal schedule: Employment and Pensions (last updated 4 October 2017; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
EP3.2.5	Pensioner representatives' visit report form	Pensioner support	Electronic/hard copy Compendia	TfL Pension Fund	-	Last submission	6 months	Destroy	To support standard business process	
EP3.2.6	Pensioner representatives' expenses	Pensioner support	Electronic/hard copy Compendia	TfL Pension Fund; Payroll	6 years from end of tax year to which they relate VAT Act 1994 Sched.11(6)	End of tax year	7 years	Destroy	To comply with legislation	

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TfL information and records disposal schedule: Finance (last updated 04 August 2015)

Purpose

The information and records disposal schedule which follows forms part of a set of corporate schedules for Transport for London (TfL). The schedules provide evidence of compliance with legislation such as the Data Protection Act 1998 and the Freedom of Information Act 2000, as well as adherence to TfL's [Information and Records Management Policy](#) and TfL's commitment to [transparency](#).

The schedules assist TfL to:

- Reduce multiple sets of identical records and data.
- Remove obsolete or inaccurate information.
- Improve business processes.
- Meet legislative compliance requirements.
- Create corporate rules for records disposal as part of new system implementation.

The schedules will be revised every two years or more frequently if required. They are generic documents covering records relating to the following functions:

Schedule	Reference
Contracts and Procurement	CP
Corporate Governance	CG
Employment and Pensions	EP
Finance	FN
Health and Safety	HS
Information Management	IM
Property and Assets	PY

Disclaimer

Any disposal schedule is by its nature a work in progress; it may be incomplete due to time restraints or complete at the time of publication but require amendments, additions and deletions at a future date.

Note on records disposal

There are only two ways to dispose of records:

- Destroy them at a given time *or*
- Keep them permanently as part of TfL's historical record.

Records of permanent value should be transferred to the [TfL Corporate Archives](#). Hard copy (paper) records and information on portable digital media which have to be kept for a period of time before destruction (e.g. longer than 1 year after closure) should be transferred to the [TfL Records Stores](#).

Destruction of records in accordance with the provisions of this schedule will be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation.

Scope

- The schedule below covers records relating to accounting, tax, insurance and payroll.
- This version of the schedule does not include investment management. Records covering this function will be added to subsequent versions.
- The schedule does not cover reference or information copies of financial documents held by individual business areas. Destruction of this category of information should be undertaken as soon as reference use ceases.

The provisions of the schedule are to be applied to data in all formats (electronic or paper) and in all storage locations, whether active or inactive, other than to information stored on backup tapes or discs, which are subject to a different set of disposal rules based on disaster recovery requirements, and emails held in the Symantec Enterprise Archive Vault, which has a single retention policy applied to all content once ingested into the Vault. See the *Information Management* schedule for an explanation of the retention rules applied to backup tapes or discs and the 'email archive'.

The schedule: Finance (Ref: FN)

Contents:

- FN1 [Accounting and taxation](#)
- FN2 [Processing customer payments](#)
- FN3 [Financial planning](#)
- FN4 [Insurance management](#)
- FN5 [Payroll management](#)

Abbreviations and acronyms

- BMR Business Management Review
- CBF Corporate Business Finance
- RTI Real time information

TfL information and records disposal schedule: Finance (last updated 04 August 2015; version 4.0)										
Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
FN1. Accounting and taxation										
FN1.1	Annual financial report and accounts	Managing annual accounts	Electronic/ Hard copy	Finance	6 years from the date on which they are made Companies Act 2006 s. 388(4)	Creation	Retain permanently	Transfer hard copy to TfL Corporate Archives as convenient and electronic versions by arrangement	Historical/ evidential value	The TfL Statement of Accounts is prepared under the CIPFA (Chartered Institute of Public Finance and Accountancy) Code of Practice
FN1.2	Interim report and accounts	Managing annual accounts	Electronic/ Hard copy	Finance	6 years from the date on which they are made Companies Act 2006 s. 388(4)	Creation	7 years	Destroy	To comply with legislation	
FN1.3	Asset register	Managing annual accounts	Electronic/ Hard copy	Finance	6 years from the date on which they are made Companies Act 2006 s. 388(4)	Creation	7 years	Destroy	To comply with legislation	
FN1.4	Nominal and private ledger	Managing annual accounts	Electronic/ Hard copy	Finance	6 years from the date on which they are made Companies Act 2006 s. 388(4)	Creation	7 years	Destroy	To comply with legislation	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Finance (last updated 04 August 2015; version 4.0)

Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
FN1.5	Journal ledger	Managing annual accounts	Electronic/ Hard copy	Finance	6 years from the date on which they are made Companies Act 2006 s. 388(4)	Creation	7 years	Destroy	To comply with legislation	
FN1.6	Individual debtors' accounts	Managing annual accounts	Electronic/ Hard copy	Finance	6 years from the date on which they are made Companies Act 2006 s. 388(4)	Creation	7 years	Destroy	To comply with legislation	
FN1.7	End of year stock record	Managing annual accounts	Electronic/ Hard copy	Finance	6 years from the date on which they are made Companies Act 2006 s. 388(4)	Creation	7 years	Destroy	To comply with legislation	
FN1.8	Cash book	Managing annual accounts	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.9	Bank statements	Bank accounts management	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.10	Purchase ledger	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.11	Petty cash vouchers	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.12	Journal vouchers	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	

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TfL information and records disposal schedule: Finance (last updated 04 August 2015; version 4.0)

Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
FN1.13	Purchase invoices	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.14	Credit notes	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.15	Rental agreements	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of agreement (including any options to extend that are exercised)	7 years	Destroy	To comply with legislation	
FN1.16	Hire purchase agreements	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of agreement (including any options to extend that are exercised)	7 years	Destroy	To comply with legislation	
FN1.17	Loan agreements	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of agreement (including any options to extend that are exercised)	7 years	Destroy	To comply with legislation	
FN1.18	Reconciliations	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.19	Bank paying in slips	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.20	Cancelled cheques	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	

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TfL information and records disposal schedule: Finance (last updated 04 August 2015; version 4.0)

Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
FN1.21	Payment authorisations	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.22	Cheque authorisations	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years from end tax year	Destroy	To comply with legislation	
FN1.23	BACS reports	Accounting for expenditure	Electronic	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.24	Petty cash authorisations	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.25	Petty cash receipts	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.26	Staff expenses claims	Accounting for expenditure	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.27	Bank reconciliations	Accounting for income	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.28	Sales ledgers	Accounting for income	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Sch.11(6)	End of tax year	7 years	Destroy	To comply with legislation	

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TfL information and records disposal schedule: Finance (last updated 04 August 2015; version 4.0)										
Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
FN1.29	Till rolls	Accounting for income	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Scheduled.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.30	Remittance advices	Accounting for income	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Scheduled.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.31	Sales invoices	Accounting for income	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Scheduled.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.32	Credit notes	Accounting for income	Electronic/ Hard copy	Finance	6 years from end of tax year to which they relate VAT Act 1994 Scheduled.11(6)	End of tax year	7 years	Destroy	To comply with legislation	
FN1.33	Tax returns	Accounting for income	Electronic/ Hard copy	Finance	6 years from end of tax period to which the return relates Finance Act 1998 Scheduled.18(III)	End of tax year	7 years	Destroy	To comply with legislation	
FN2. Processing customer and staff payments										
We are currently developing a separate disposal schedule for other customer-related data held by TfL. In the meantime if you have any queries in regards to the management of information and records relating to our customers email recordsmanagement@tfl.gov.uk										
FN2.1	Credit/debit card details	Managing financial transactions with customers Payment Card Industry Data Security Standard	Electronic/ Hard copy	Finance; Customer Service Teams; Taxi and Private Hire; London Transport Museum	-	Date of transaction	18 months	Destroy	UK best practice to comply with the Data Protection Act 1998 and the Payment Card Industry Data Security Standard	Only the first six and the last four digits of any card number should be visible

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TfL information and records disposal schedule: Finance (last updated 04 August 2015; version 4.0)										
Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
FN2.2	Bank account details	Managing financial transactions with customers	Electronic/ Hard copy	Finance; Customer Service Teams; Taxi and Private Hire; London Transport Museum	-	Date of transaction or end of direct debit agreement (whichever is later)	18 months	Destroy	UK best practice to comply with the Data Protection Act	
FN3. Financial planning										
FN3.1	Budgets: group	Preparation of capital and revenue budgets	Electronic/ Hard copy	Finance (Group Business Planning and Performance)	-	Creation	Retain permanently	Transfer hard copy to TfL Corporate Archives as convenient and electronic versions on creation	Historical/ evidential value	
FN3.2	Budgets: business area (ie Rail and Underground, Surface, Specialist Services)	Preparation of capital and revenue budgets	Electronic/ Hard copy	Specialist Services – CBF, Rail and Underground, Surface	-	Creation	Retain permanently	Transfer hard copy to TfL Corporate Archives as convenient and electronic versions on creation	Historical/ evidential value	
FN3.3	Budgets: business unit specific	Documenting target spend	Electronic/ Hard copy	Finance; local business units	-	As superseded	-	Destroy	UK best practice	
FN3.4	Internal financial reports (eg BMRs)	Financial reporting	Electronic/ Hard copy	Finance	-	Last action	7 years	Destroy	UK best practice	
FN3.5	Financial forecasts: group	Preparation of financial forecasts	Electronic/ Hard copy	Finance (Group Business Planning and Performance)	-	Creation	Retain permanently	Transfer hard copy to TfL Corporate Archives as convenient and electronic versions on creation	Historical/ evidential value	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Finance (last updated 04 August 2015; version 4.0)										
Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
FN3.6	Financial forecasts: business area (ie Rail and Underground, Surface, Specialist Services)	Preparation of financial forecasts	Electronic/ Hard copy	Specialist Services – CBF, Rail and Underground, Surface	-	Creation	Retain permanently	Transfer hard copy to TfL Corporate Archives as convenient and electronic versions on creation	Historical/ evidential value	
FN3.7	Financial forecasts: business unit specific	Documenting business unit financial forecasts	Electronic/ Hard copy	Finance; local business areas	-	As superseded	-	Destroy	UK best practice	
FN4. Insurance management										
FN4.1	Insurance policy certificates	Policy maintenance	Hard copy Muniments	Finance	6 years from date on which the cause of action accrued Limitation Act 1980 s.5	Termination of policy or when all claims under the policy are barred and all outstanding claims settled (whichever is later)	60 years	Destroy	To allow for claims arising from exposure to hazardous agents or substances as per The Control of Substances Hazardous to Health Regulations 2002 and The Ionising Radiations Regulations (1999) (40 and 50 years after date of assessment respectively)	60 year retention is also standard UK best practice
FN4.2	Insurance policy renewal notices	Policy maintenance	Hard copy	Finance	6 years from date on which the cause of action accrued Limitation Act 1980 s.5	Termination of policy or when all claims under the policy are barred and all outstanding claims settled (whichever is later)	7 years	Destroy	To assist in defending any legal claims	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Finance (last updated 04 August 2015; version 4.0)

Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
FN4.3	Insurance register	Policy maintenance	Hard copy	Finance	6 years from date on which the cause of action accrued Limitation Act 1980 s.5	Termination of policy or when all claims under the policy are barred and all outstanding claims settled (whichever is later)	7 years	Destroy	To assist in defending any legal claims	
FN4.4	Employers liability insurance certificates	Policy maintenance	Hard copy	Finance	40 years after the date on which the insurance to which the certificate relates commences or is renewed Employers' Liability (Compulsory Insurance) Regulations 1998 s.4	Date on which the insurance to which the certificate relates commences or is renewed	60 years	Destroy	To assist in defending any legal claims	
FN4.5	Insurance claims	Filing of claims against insurance policies	Electronic/ Hard copy	Finance	6 years from date on which the cause of action accrued Limitation Act 1980 s.5	Claim settled	30 years	Destroy	To assist in defending any legal claims	
FN4.6	Claims correspondence	Filing of claims against insurance policies	Electronic/ Hard copy	Finance	-	Claim settled	7 years	Destroy	To tie in with retention of claims record	
FN4.7	Inspection reports	Filing of claims against insurance policies	Electronic/ Hard copy	Finance	6 years from date on which the cause of action accrued Limitation Act 1980 s.5	Termination of policy or when all claims under the policy are barred and all outstanding claims settled (whichever is later)	7 years	Destroy	To assist in defending any legal claims	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Finance (last updated 04 August 2015; version 4.0)

Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
FN5. Payroll management										
For further details on the management of records relating to employment management see the Employment and Pensions disposal schedule										
FN5.1	Bank statements for salary accounts	Documentation supporting Payroll	Hard copy	Payroll	6 years from end of tax year to which they relate Finance Act 1998 Schd.18(III), Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	
FN5.2	Class 1A National Insurance records	Documentation supporting Payroll	Electronic/ Hard copy	Payroll	6 years from end of tax year to which they relate Finance Act 1998 Schd.18(III), Taxes Management Act 1970	End of tax year	7 years	Destroy	To comply with legislation	
FN5.3	Directors emoluments – annual accounts	Documentation supporting Payroll	Electronic/ Hard copy SAP, shared network drive	Payroll	An employer must keep for not less than 3 years after the end of the tax year to which they relate all PAYE records Income Tax (PAYE) Regulations 2003 Reg 97 6 years from end of tax year to which they relate Finance Act 1998 Schd.18(III),	End of tax year	7 years	Destroy	To comply with legislation	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Finance (last updated 04 August 2015; version 4.0)

Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
FN5.4	P11D (employer declaration) substitute forms and information	Documentation supporting Payroll	Electronic/ Hard copy SAP, shared network drive	Payroll	An employer must keep for not less than 3 years after the end of the tax year to which they relate all PAYE records Income Tax (PAYE) Regulations 2003 Reg 97 6 years from end of tax year to which they relate Finance Act 1998 Sch.18(III),	End of tax year	7 years	Destroy	To comply with legislation	
FN5.5	P35 HMRC (RTI) year to date totals	Documentation supporting Payroll	Electronic/ Hard copy SAP, shared network drive	Payroll	An employer must keep for not less than 3 years after the end of the tax year to which they relate all PAYE records Income Tax (PAYE) Regulations 2003 Reg 97 6 years from end of tax year to which they relate Finance Act 1998 Sch.18(III),	End of tax year	7 years	Destroy	Reports are run for reconciliation purposes	

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TfL information and records disposal schedule: Finance (last updated 04 August 2015; version 4.0)

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FN5.6	Pension re-assessment reports	Documentation supporting Payroll	Electronic/ Hard copy SAP, shared network drive	Payroll	An employer must keep for not less than 3 years after the end of the tax year to which they relate all PAYE records Income Tax (PAYE) Regulations 2003 Reg 97 6 years from end of tax year to which they relate Finance Act 1998 Sched.18(III) ,	End of tax year	7 years	Destroy	To comply with legislation	
FN5.7	Reconciliation of statutory deductions	Documentation supporting Payroll	Electronic SAP, shared network drive	Payroll	An employer must keep for not less than 3 years after the end of the tax year to which they relate all PAYE records Income Tax (PAYE) Regulations 2003 Reg 97 6 years from end of tax year to which they relate Finance Act 1998 Sched.18(III) ,	End of tax year	7 years	Destroy	To comply with legislation	
FN5.8	Tax code changes	Documentation supporting Payroll	Electronic/ Hard copy SAP	Payroll	-	Last action	3 years	Destroy	UK best practice	
FN5.9	Payroll enquiries	Documenting payroll and tax	Electronic/ Hard copy	Payroll	-	Last action	3 years	Destroy	UK best practice	If a hard copy enquiry has been scanned it should be destroyed post quality checking

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

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FN5.10	High earnings report	Documenting payroll and tax	Electronic/ Hard copy	Payroll	-	Last action	15 months	Destroy	Sufficient for audit purposes	As agreed between Payroll and Internal Audit
FN5.11	Pay run calculate exceptions report	Documenting payroll and tax	Hard copy	Payroll	-	Last action	15 months	Destroy	Sufficient for audit purposes	As agreed between Payroll and Internal Audit
FN5.12	Trends	Documenting payroll and tax	Hard copy	Payroll	-	Last action	15 months	Destroy	Sufficient for audit purposes	As agreed between Payroll and Internal Audit
FN5.13	Recall-hold listing	Documenting payroll and tax	Electronic	Payroll	-	Last action	2 years	Destroy	UK best practice	
FN5.14	Cheque listing	Documenting payroll and tax	Electronic/ Hard copy	Payroll	-	Last action	3 years	Destroy	Current practice	

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TfL information and records disposal schedule: Health and Safety (last updated 14 March 2017)

Purpose

The information and records disposal schedule which follows forms part of a set of corporate schedules for Transport for London (TfL). The schedules provide evidence of compliance with legislation such as the Data Protection Act 1998 and the Freedom of Information Act 2000, as well as adherence to TfL's [Information and Records Management Policy](#) and TfL's commitment to [transparency](#).

The schedules assist TfL to:

- Reduce multiple sets of identical records and data.
- Remove obsolete or inaccurate information.
- Improve business processes.
- Meet legislative compliance requirements.
- Create corporate rules for records disposal as part of new system implementation.

The schedules will be revised every two years or more frequently if required. They are generic documents covering records relating to the following functions:

Schedule	Reference
Contracts and Procurement	CP
Corporate Governance	CG
Employment and Pensions	EP
Finance	FN
Health and Safety	HS
Information Management	IM
Property	PY

Disclaimer

Any disposal schedule is by its nature a work in progress; it may be incomplete due to time restraints or complete at the time of publication but require amendments, additions and deletions at a future date.

Note on records disposal

There are only two ways to dispose of records:

- Destroy them at a given time *or*
- Keep them permanently as part of TfL's historical record.

Records of permanent value should be transferred to the [TfL Corporate Archives](#). Hard copy (paper) records and information on portable digital media which have to be kept for a period of time before destruction (e.g. longer than 1 year after closure) should be transferred to the [TfL Records Stores](#).

Destruction of records in accordance with the provisions of this schedule will be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation.

Scope

- The schedule below covers records relating to TfL's health and safety functions.
- For health and safety records relating to buildings see the [Property and Assets](#) records disposal schedule.
- For health and safety assessments and medical records relating to individual TfL employees see the [Employment and Pensions](#) records disposal schedule.
- For health and safety policies see the [Corporate Governance](#) records disposal schedule.

The provisions of the schedule are to be applied to data in all formats (electronic or paper) and in all storage locations, whether active or inactive, other than to information stored on backup tapes or discs, which are subject to a different set of disposal rules based on disaster recovery requirements, and emails held in the Symantec Enterprise Archive Vault, which has a single retention policy applied to all content once ingested into the Vault. See the *Information Management* schedule for an explanation of the retention rules applied to backup tapes or discs and the 'email archive'.

The Schedule: Health and Safety (Ref: HS)

Contents

HS1	Health monitoring
HS2	Safety monitoring
HS3	Hazardous waste disposal
HS4	Health and safety procedures
HS5	Transport safety monitoring

Abbreviations and acronyms

CIRS	CentreComm Information Retrieval System
CuPID	Contract Performance Information Database
DLR	Docklands Light Railway
DSE	Display screen equipment
EIRF	Electronic Incident Report Form
HSE	Health, Safety & Environment
H&S	Health and Safety
ICSA	Institute of Chartered Secretaries and Administrators
LU	London Underground
LU	London Underground Control Centre
LUSEA	London Underground Safety and Environmental Analysis System
MICCS	Multi-modal Integrated Command and Control System
NIMROD	Network Incident Monitor Real-time Operations Display
ORR	Office of Rail and Road
SQE	Safety Quality & Environment (LU)
TfL	Transport for London

TfL information and records disposal schedule: Health and Safety (last updated 14 March 2017: version 4.0)										
Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
HS1. Health monitoring										
HS1.1	Record of monitoring the exposure of employees to substances hazardous to health where the record is representative of the personal exposure of identifiable employees	Requirement under The Control of Substances Hazardous to Health Regulations 2002 Reg 10 (5)	Electronic/hard copy	Corporate HSE; Local H&S teams	40 years where exposure is such that a health record is required to be kept under Regulation The Control of Substances Hazardous to Health Regulations 2002 Reg 10 (5)	Last entry	41 years	Destroy	To assist in defending any legal claims	Individual employee health records are held by Occupational Health: see Employment and Pensions records disposal schedule

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Health and Safety (last updated 14 March 2017: version 4.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
HS1.2	Record of monitoring the exposure of employees to substances hazardous to health where the record is <i>not</i> representative of the personal exposure of identifiable employees	Requirement under The Control of Substances Hazardous to Health Regulations 2002 Reg 10 (5)	Electronic/hard copy	Corporate HSE; Local H&S teams	5 years The Control of Substances Hazardous to Health Regulations 2002 Reg 10 (5)	Last entry	6 years	Destroy	To assist in defending any legal claims	
HS1.3	Air monitoring of asbestos record where exposure is such that a health record is required to be kept under Regulation 22 of The Control of Asbestos Regulations 2012	Requirement under The Control of Asbestos Regulations 2012 Reg 19 (3)	Electronic/hard copy	Corporate HSE; Local H&S teams	40 years where exposure is such that a health record is required to be kept under Regulation The Control of Asbestos Regulations 2012 Reg 19(4)(a) and 22	Last entry	41 years	Destroy	To assist in defending any legal claims	Individual employee health records are held by Occupational Health: see Employment and Pensions records disposal schedule
HS1.4	Air monitoring of asbestos in all cases where a health record is <i>not</i> required to be kept under Regulation 22 of The Control of Asbestos Regulations 2012	Requirement under The Control of Asbestos Regulations 2012 Reg 19 (3)	Electronic/hard copy	Corporate HSE; Local H&S teams	5 years The Control of Asbestos Regulations 2012 Reg 19(4)(b)	Last entry	6 years	Destroy	To assist in defending any legal claims	
HS1.5	Compressed air monitoring record (monitoring employee's exposure to compressed air including decompression details)	Requirement under The Work in Compressed Air Regulations 1996 Reg 11	Electronic/hard copy	Corporate HSE; Local H&S teams	At least 40 years from date of last entry The Work in Compressed Air Regulations 1996 Reg 11	Last entry	41 years	Destroy	To assist in defending any legal claims	
HS1.6	List of employees exposed to group 3 and 4 biological agents	Requirement under The Control of Substances Hazardous to Health Regulations 2002 Reg 7(10)	Electronic/hard copy	Corporate HSE; Local H&S teams	40 years The Control of Substances Hazardous to Health Regulations 2002 Schedule 3 para 4	Last entry	41 years	Destroy	To assist in defending any legal claims	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Health and Safety (last updated 14 March 2017: version 4.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
HS1.7	Record of specialist training arranged for employees who may be exposed to hazardous substances	Requirement under The Control of Substances Hazardous to Health Regulations 2002 Reg 12	Electronic/hard copy	Corporate HSE; Local H&S teams	-	Last entry	41 years	Destroy	To tie in with retention of other records relating to monitoring of or exposure to hazardous substances and to assist in defending any legal claims	
HS2. Safety monitoring										
HS2.1	Record of deaths, injuries at work or disease as required by Regs 4-10 of The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic EIRF	Corporate HSE; Local H&S teams	At least 3 years from creation date The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12(2)	Last action	12 years	Destroy	To assist in defending any legal claims where knowledge of injury is not immediate	
HS2.2	Record of deaths, injuries at work or disease as required by Regs 4-10 of The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 *	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic LUSEA, CuPID	Corporate HSE; Local H&S teams	At least 3 years from creation date The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12(2)	Last action	30 years	Destroy	To support trend analysis	* The data held in LUSEA and CuPID will be anonymised before the end of the 30 year retention period. The period before anonymisation is currently under discussion and will be noted in an updated version of this schedule.

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Health and Safety (last updated 14 March 2017: version 4.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
HS2.3	Accident books and forms	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic/hard copy	Corporate HSE; Local H&S teams	At least 3 years from creation date The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12(2) Limitation period for personal injury or negligence damages claims is 3 years from date of incident, knowledge of injury or death Limitation Act 1980 s.11	Last entry	4 years	Destroy	To assist in defending any legal claims where knowledge of injury is not immediate	
HS2.4	Accident reports	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic EIRF	Corporate HSE; Local H&S teams	At least 3 years from creation date The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12(2) Limitation period for personal injury or negligence damages claims is 3 years from date of incident, knowledge of injury or death Limitation Act 1980 s.11	Last action	12 years	Destroy	To assist in defending any legal claims where knowledge of injury is not immediate	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Health and Safety (last updated 14 March 2017: version 4.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
HS2.5	Accident reports *	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic LUSEA, CuPID			Last action	30 years	Destroy	To support trend analysis	* The data held in LUSEA and CuPID will be anonymised before the end of the 30 year retention period. The period before anonymisation is currently under discussion and will be noted in an updated version of this schedule.
HS2.6	Asbestos-related incident reports	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic EIRF	Corporate HSE; Local H&S teams	40 years where exposure is such that a health record is required to be kept (*); otherwise 5 years Control of Asbestos at Work Regulations 2002 Reg 18 (by reason of saving provisions in Reg 33 The Control of Asbestos Regulations 2012)	Last action	12 years	Destroy	To assist in defending any legal claims where knowledge of injury is not immediate	Where a record on an individual is required to be kept, relevant documentation will be passed to Occupational Health which will retain for the requisite period (41 years)
HS2.7	Asbestos-related incident reports *	Requirement under The Reporting of Injuries Diseases and Dangerous Occurrences Regulations 2013 Reg 12	Electronic LUSEA, CuPID			Last action	30 years	Destroy	To support trend analysis	* The data held in LUSEA and CuPID will be anonymised before the end of the 30 year retention period. The period before anonymisation is currently under discussion and will be noted in an updated version of this schedule.

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Health and Safety (last updated 14 March 2017: version 4.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
HS2.8	Record of examination and testing of hazard controls	Requirement under The Control of Substances Hazardous to Health Regulations 2002 Reg 9 (4)	Electronic/hard copy	Corporate HSE; Local H&S teams	5 years from creation date The Control of Substances Hazardous to Health Regulations 2002 Reg 9 (4) Limitation period for personal injury or negligence damages claims is 3 years from date of incident, knowledge of injury or death Limitation Act 1980 s.11	Last entry	6 years	Destroy	To assist in defending any legal claims where knowledge of injury is not immediate	
HS2.9	Fire risk assessment	Requirement under The Regulatory Reform (Fire Safety) Order 2005 Reg 9	Electronic/hard copy	Corporate HSE; Local H&S teams	-	Completion of further assessment which renders the previous one obsolete	7 years	Destroy	To assist in defending any legal claims	
HS2.10	Records of any significant findings of any risk assessment carried out and any group of employees identified by it as being especially at risk	Requirement under The Management of Health and Safety at Work Regulations 1999 Reg 3 (6)	Electronic/hard copy	Corporate HSE; Local H&S teams	-	Completion of further assessment which renders the previous one obsolete	7 years	Destroy	To assist in defending any legal claims	
HS2.11	Record of planned general inspections	Recording results of the programme of planned inspections	Electronic	Local H&S teams	-	Completion of inspection (including actions taken)	3 years	Destroy	To assist in defending any legal claims	
HS2.12	Formal incident investigation report and supporting documentation (including related correspondence)	Requirement under TfL's criteria for commissioning a formal investigation (R0492)	Electronic	Corporate HSE	-	Approval of report	Retain permanently in TfL Corporate Archives Destroy local versions as convenient	Transfer to TfL Corporate Archives	Historical/evidential value	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Health and Safety (last updated 14 March 2017: version 4.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
HS2.13	Incident management record	Recording details of incidents and incident management actions	Electronic *	LUCC; CentreComm	-	Last action	10 years	Destroy	To assist incident investigations	* Data is currently sitting in NIMROD and CIRS, but will be migrated to MICCS
HS2.14	Senior Manager HSE tour reports (F0027)	Recording results of Senior Manager HSE tours	Electronic	Local H&S teams	-	Completion of tour (including any actions taken)	3 years	Destroy	To assist in defending any legal claims	
HS3. Hazardous waste disposal										
HS3.1	Records of tipped (discharged) hazardous waste under Reg 47 of The Hazardous Waste (England and Wales) Regulations 2005	Requirement under The Hazardous Waste (England and Wales) Regulations 2005 Reg 47	Electronic/hard copy	Facilities Operations (Commercial)	3 years after deposit of waste or until permit surrendered The Hazardous Waste (England and Wales) Regulations 2005 Reg 47 (5)	Last action	4 years	Destroy	To assist in defending any legal claims	Records made under this regulation must be kept in an onsite register
HS3.2	Records of disposal or recovery of hazardous waste by other means under Reg 48 of The Hazardous Waste (England and Wales) Regulations 2005	Requirement under The Hazardous Waste (England and Wales) Regulations 2005 Reg 48	Electronic/hard copy	Facilities Operations (Commercial)	Where the hazardous waste is fully recovered, or remains at a transfer station, as the case may be, until it leaves the site and for 3 years thereafter The Hazardous Waste (England and Wales) Regulations 2005 Reg 48 (6)	Last action	4 years	Destroy	To assist in defending any legal claims	Records made under this regulation must be kept in an onsite register
HS3.3	Producers', holders' and consignors' records under Reg 49 of The Hazardous Waste (England and Wales) Regulations 2005	Requirement under The Hazardous Waste (England and Wales) Regulations 2005 Reg 49	Electronic/hard copy	Facilities Operations (Commercial)	At least 3 years after the date on which the waste is transferred to another person The Hazardous Waste (England and Wales) Regulations 2005 Reg 49 (3)	Last action	4 years	Destroy	To assist in defending any legal claims	Records made under this regulation must be kept in a register

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Health and Safety (last updated 14 March 2017: version 4.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
HS3.4	Carrier's records under Reg 50 of The Hazardous Waste (England and Wales) Regulations 2005	Requirement under The Hazardous Waste (England and Wales) Regulations 2005 Reg 50	Electronic/hard copy	Facilities Operations (Commercial)	At least twelve months from the date of delivery of the waste to its destination The Hazardous Waste (England and Wales) Regulations 2005 Reg 50 (2)	Last action	2 years	Destroy	To assist in defending any legal claims	Records made under this regulation must be kept in a register.
HS3.5	Records relating to the Consignee's return to the producer, holder or consignor under Reg 54 of The Hazardous Waste (England and Wales) Regulations 2005	Requirement under The Hazardous Waste (England and Wales) Regulations 2005 Reg 54	Electronic/hard copy	Facilities Operations (Commercial)	-	Last action	4 years	Destroy	To assist in defending any legal claims	
HS4. Health and safety procedures										
HS4.1	Transport safety policy statement	Requirement under The Railways and Other Guided Transport Systems (Safety) Regulations 2006 Schedule 1 s.2	Electronic Source; shared drive?	Corporate HSE	-	Date of creation	Retain one copy of each approved version of the statement permanently in TfL Corporate Archives <i>Destroy local versions as convenient</i>	Transfer to TfL Corporate Archives	Historical/evidential value	
HS4.2	Minutes of consultations with safety representatives and committees	Requirement under The Health & Safety at Work Act 1974 s2 (7) if requested by safety representatives	Electronic/hard copy	Corporate HSE	-	Last action	7 years	Destroy	Recommended by ICSA	
HS4.3	Health and safety at work procedures	Developing procedures	Electronic Source; shared drive	Corporate HSE	-	As superseded	7 years	Destroy	Recommended by ICSA	

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TfL information and records disposal schedule: Health and Safety (last updated 14 March 2017: version 4.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
HS4.4	Procedures for assessing health, safety and environmental risks to employees eg DSE assessments, first aid procedures, driving standards	Developing procedures	Electronic Source; shared drive	Corporate HSE	-	As superseded	7 years	Destroy	Recommended by ICSA	
HS4.5	Reviews of health, safety and environmental management systems	Developing procedures	Electronic Source; shared drive	Corporate HSE	-	As superseded	7 years	Destroy	To tie in with disposal of procedures documentation	
HS4.6	Health, Safety & Environmental Management system assurance	Developing procedures	Electronic Source; shared drive	Corporate HSE	-	As superseded	7 years	Destroy	To tie in with disposal of procedures documentation	
HS4.7	Group reviews of major incident investigations	Developing procedures	Electronic Source; shared drive	Corporate HSE	-	As superseded	7 years	Destroy	To tie in with disposal of procedures documentation	
HS4.8	Annual Health and Safety Report	Reporting	Electronic Source; shared drive	Corporate HSE	-	Date of creation	Retain one copy of each report permanently in TfL Corporate Archives Destroy local versions as convenient	Transfer to TfL Corporate Archives	Historical/evidential value	
HS4.9	Register of HSE statutory obligations	Statutory compliance	Electronic	Corporate HSE	-	As superseded	-	Keep register updated		
HS5. Transport safety monitoring										
HS5.1	Examination record of vehicles or infrastructure prior to its being placed in service and of any remedial action required	Requirement under The Railways and Other Guided Transport Systems (Safety) Regulations 2006 Schedule 4 s.4	Electronic/hard copy	DLR; LU SQE	Lifetime of asset + 12 years Limitation Act 1980 s.8	Asset sold or transferred	13 years	Destroy	To assist in defending any legal claims	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Health and Safety (last updated 14 March 2017: version 4.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
HS5.2	Transport safety certificate and authorisation (including Transport Risk Assessment)	Requirement under The Railways and Other Guided Transport Systems (Safety) Regulations 2006 s.7-11	Electronic/hard copy	DLR; LU SQE	While current The Railways and Other Guided Transport Systems (Safety) Regulations 2006 s.21 (5)	Date of creation	10 years	Destroy	To assist in defending any legal claims and to span two ORR review cycles	
HS5.3	Annual transport safety report	Requirement under The Railways and Other Guided Transport Systems (Safety) Regulations 2006 s.20	Electronic/hard copy	DLR; London Overground; LU SQE	5 years from creation date The Railways and Other Guided Transport Systems (Safety) Regulations 2006 s.21 (6)	Last action	10 years	Destroy	To assist in defending any legal claims and kept in line with retention of HS5.2	
HS5.4	Internal safety audit	Requirement under The Railways and Other Guided Transport Systems (Safety) Regulations 2006 s.21	Electronic/hard copy	DLR; LU SQE	5 years from creation date The Railways and Other Guided Transport Systems (Safety) Regulations 2006 s.21 (6)	Last action	6 years	Destroy	To assist in defending any legal claims	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings



TfL information and records disposal schedule: Information Management (last updated 13 July 2016)

Purpose

The information and records disposal schedule which follows forms part of a set of corporate schedules for Transport for London (TfL). The schedules provide evidence of compliance with legislation such as the Data Protection Act 1998 and the Freedom of Information Act 2000, as well as adherence to TfL's [Information and Records Management Policy](#) and TfL's commitment to [transparency](#).

The schedules assist TfL to:

- Reduce multiple sets of identical records and data.
- Remove obsolete or inaccurate information.
- Improve business processes.
- Meet legislative compliance requirements.
- Create corporate rules for records disposal as part of new system implementation.

The schedules will be revised every two years or more frequently if required. They are generic documents covering records relating to the following functions:

Schedule	Reference
Contracts and Procurement	CP
Corporate Governance	CG
Employment and Pensions	EP
Finance	FN
Health and Safety	HS
Information Management	IM
Property and Assets	PY

Disclaimer

Any disposal schedule is by its nature a work in progress; it may be incomplete due to time restraints or complete at the time of publication but require amendments, additions and deletions at a future date.

Note on records disposal

There are only two ways to dispose of records:

- Destroy them at a given time *or*
- Keep them permanently as part of TfL's historical record.

Records of permanent value should be transferred to the [TfL Corporate Archives](#). Hard copy (paper) records and information on portable digital media which have to be kept for a period of time before destruction (e.g. longer than 1 year after closure) should be transferred to the [TfL Records Stores](#).

Destruction of records in accordance with the provisions of this schedule will be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation.

Scope

- The schedule below covers records relating to information management.
- For records relating to information management contracts (eg information storage contracts) see the [Contracts and Procurement](#) records disposal schedule.
- For information management policies see the [Corporate Governance](#) records disposal schedule.

The provisions of the schedule are to be applied to data in all formats (electronic or paper) and in all storage locations, whether active or inactive, other than to information stored on backup tapes or discs, which are subject to a different set of disposal rules based on disaster recovery requirements, and emails held in the Symantec Enterprise Archive Vault, which has a single retention policy applied to all content once ingested into the Vault. See the *Information Management* schedule for an explanation of the retention rules applied to backup discs and the 'email archive'.

The Schedule: Information Management (Ref: IM)

Contents

IM1	Corporate Archives management
IM2	Data backup
IM3	Historical collections management
IM4	Information compliance
IM5	Information disposal
IM6	Information management procedures
IM7	Information storage
IM8	Information system management
IM9	Information technology operations
IM10	Intellectual property management

Abbreviations and acronyms

BS 10008:2014	British Standard for Evidential weight and legal admissibility of electronic information. Specification
BTC	British Transport Commission
CALM	Archives management database
DPDT	Data Protection and Disclosures Team
EIR	Environmental Information Regulations
EOS	Enforcement and On-Street Operations
FOIA	Freedom of Information Act
HR	Human Resources
ICSA	Institute of Chartered Secretaries and Administrators
IPR	Intellectual Property Rights
LTM	London Transport Museum
LUL	London Underground Limited
Muniments	Formerly known as the Legal Documents Registry
RMWeb.Net	Records management database
SAP CRM	Customer Relationship Management database
TfL	Transport for London
TNA	The National Archives
TPH	Taxi and Private Hire
TfL IM	Corporate Information Management (IT function)

TfL information and records disposal schedule: Information Management (last updated 13 July 2016; version 6.0)										
Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
IM1. Corporate Archives management										
IM1.1	Accessions register (register of records accepted into the TfL Corporate Archives)	Documenting the acquisition of records	Electronic Excel	Information Governance	-	Creation	-	Retain permanently	To assist in establishing provenance	
IM1.2	Record series list/catalogue	Managing access to the TfL Corporate Archives	Electronic CALM	Information Governance	-	Creation	-	Retain permanently	TNA Retention Scheduling guideline no. 9 Information Management Records	

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TfL information and records disposal schedule: Information Management (last updated 13 July 2016; version 6.0)

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IM1.3	Records storeroom location register	Managing access to the TfL Corporate Archives	Electronic Excel	Information Governance	-	As superseded	-	Register to be kept updated	UK best practice	
IM1.4	Diary of visitors to the TfL Corporate Archives and associated forms	Managing access to the TfL Corporate Archives	Electronic/hard copy	Information Governance	-	Last use of TfL Corporate Archives by registered user	2 years	Destroy	To monitor users over time	
IM1.5	Records of enquiry relating to use of the TfL Corporate Archives	Managing access to the TfL Corporate Archives	Electronic	Information Governance	-	Last action	3 years	Destroy	To monitor users over time and to tie in with retention period for FOI enquiries	
IM1.6	Agreements with donors/users eg transfer, copyright or confidentiality agreements	Managing access to the TfL Corporate Archives	Electronic	Information Governance	Life of agreement + 6 years Limitation Act 1980 s.5	Expiry of agreement or relationship with individual ceases	7 years	Destroy	To assist in the event of any legal claims	
IM1.7	TfL Corporate Archives exhibition material	Promoting and publicising use of the TfL Corporate Archives	Electronic/hard copy	Information Governance	-	As superseded	-	Destroy	UK best practice	
IM1.8	TfL Corporate Archives research guides	Promoting and publicising use of the TfL Corporate Archives	Electronic/hard copy	Information Governance	-	As superseded	-	Research guides regularly updated	UK best practice	
IM1.9	Schedules of records loaned to other organisations	Promoting and publicising use of the TfL Corporate Archives	Electronic/hard copy	Information Governance	-	Creation	-	As long as the record is held by TfL	TNA Retention Scheduling guideline no. 9 Information Management Records	
IM2. Data backup										
IM2.1	Backup tapes and discs: daily incremental backup	Business continuity	Electronic	TfL IM	-	Creation	1 month	Destroy	Disaster recovery	
IM2.2	Backup tapes and discs: weekly full backup	Business continuity	Electronic	TfL IM	-	Creation	1 month	Destroy	Disaster recovery	

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IM2.3	Backup tapes and discs: monthly/period full backup	Business continuity	Electronic	TfL IM	-	Creation	2 years	Destroy	Disaster recovery	
IM2.4	Backup tapes: 13 month period full backup (year end)	Business continuity	Electronic	TfL IM	-	Creation	2 years	Destroy	Disaster recovery	
IM3. Historical collections management										
IM3.1	Accessions register (BTC material only)	Documenting the acquisition of collections	Electronic/hard copy	LTM	-	Creation	-	Retain permanently	To assist in establishing provenance	
IM3.2	Record of donations or loans	Documenting the acquisition of collections	Electronic/hard copy	LTM	-	Creation	-	Retain permanently	TNA Retention Scheduling guideline no. 9 Information Management Records	
IM3.3	Collections catalogue (includes Collections location)	Documenting the acquisition of collections	Electronic	LTM	-	Creation	-	Retain permanently	TNA Retention Scheduling guideline no. 9 Information Management Records	
IM3.4	Record of users of collection material	Managing access to the collections	Electronic/hard copy	LTM	-	Last use	3 years	Destroy	To monitor users over time	
IM3.5	Records of enquiry relating to use of the collections	Managing access to the collections	Electronic	LTM	-	Last action	3 years	Destroy	To monitor users over time	
IM3.6	Guides	Promoting and publicising use of the collections	Electronic/hard copy	LTM	-	As superseded	-	Guides to be updated	UK best practice	
IM4. Information compliance										
IM4.1	Subject access requests for personal data under the Data Protection Act 1998	Managing subject access requests under the DPA	Electronic/hard copy	Information Governance; HR	-	Case closed	2 years	Destroy	To allow for the resolution of complaints to the Information Commissioner	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Information Management (last updated 13 July 2016; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
IM4.2	Consents for the processing of personal or sensitive personal data	Managing subject access requests under the DPA	Electronic/hard copy	Business area responsible for data collection	As long as the data is processed and held in respect of a living individual Data Protection Act 1998 (c.29) Schedule 1	Processing of relevant data ceases and data is destroyed	-	Destroy	To comply with the DPA and TfL's Privacy and Data Protection Policy	
IM4.3	Third party requests for personal data held by TfL	Managing third party requests under the DPA	Electronic/hard copy	Responsible business area ie EOS, Information Governance, Oyster Help Desk, TPH	-	Case closed	2 years (*)	Destroy	To allow for the resolution of complaints to the Information Commissioner	* Third party requests (journey data disclosure requests) held by EOS are retained for 2 years if they relate to national security. Non-national security requests are only held by EOS for 1 year (as noted on the DPDT local disposal schedule)
IM4.4	Requests for information made under the Freedom of Information Act 2000	Managing requests for information under the FOIA	Electronic/hard copy	Information Governance; contributing business areas	-	End of financial year of request	3 years	Destroy (*)	To allow for the resolution of complaints to the Information Commissioner and support re-use of information	* Some anonymised case files may be passed for inclusion in the TfL Corporate Archives after review of the information access requests case log (see item IM4.6)
IM4.5	Requests for information made under the Environmental Information Regulations	Managing requests for information under the EIRS	Electronic/hard copy	Information Governance; contributing business areas	-	End of financial year of request	3 years	Destroy (*)	To allow for the resolution of complaints to the Information Commissioner and support re-use of information	* Some anonymised case files may be passed for inclusion in the TfL Corporate Archives after review of the information access requests case log (see item IM4.6)

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Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
IM4.6	Information access requests case log	Managing requests for information under the FOIA and EIRS	Electronic	Information Governance	-	End of financial year	3 years	Destroy (*)	To allow for the resolution of complaints to the Information Commissioner and support re-use of information	* The log will be passed to TfL Corporate Archives to assist assessment of whether any case files should be anonymised and retained permanently in the TfL Corporate Archives (see items IM4.4 and IM4.5)
IM4.7	Complaints relating to the handling of information access requests under the FOIA, DPA or EIRS	Investigating and resolving complaints	Electronic/hard copy	Information Governance	-	Case closed	2 years	Destroy	To allow for the resolution of complaints to the Information Commissioner and also to comply with statutory codes of practice	
IM4.8	Information about data security incidents	Investigating and resolving information security breaches	Electronic/hard copy	Information Governance; TfL IM	-	Case closed	2 years	Destroy	To allow for the resolution of complaints to the Information Commissioner	
IM5. Information disposal										
IM5.1	Records disposal schedules	Documenting the disposal of corporate records	Electronic	Information Governance (corporate); business area (local)	-	Creation	-	Transfer one version of each approved schedule to the TfL Corporate Archives for permanent retention	Lord Chancellor's Code of Practice on the management of records issued under section 46 of the Freedom of Information Act 2000 s.12.7	
IM5.2	Documentation relating to the compilation of disposal schedules	Documenting the disposal of corporate records	Electronic	Information Governance (corporate); business area (local)	-	Last action	10 years	Destroy	TNA Retention Scheduling guideline no. 9 Information Management Records	

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TfL information and records disposal schedule: Information Management (last updated 13 July 2016; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
IM5.3	Review lists	Documenting the disposal of corporate records	Electronic	Information Governance	-	Last action	5 years	Destroy	TNA Retention Scheduling guideline no. 9 Information Management Records	
IM5.4	Destruction authorisation lists	Authorising destruction of records held in external storage	Electronic/hard copy	Information Governance	-	Last action	2 years	Destroy	To allow for audit and statistical purposes	
IM5.5	Logs, lists, certificates or databases of records destroyed	Monitoring destruction of records	Electronic/hard copy	Information Governance (corporate); business area (local)	-	Last action	10 years	Destroy	To assist in defending any legal claims in relation to records destruction	
IM5.6	Information stored in "personal" drives ("U" drives)	Monitoring destruction of records	Electronic	TfL IM	-	Notification of the termination of individual's employment Account inactive (where IM have not been notified of termination or long term leave)	90 days 180 days	Destroy Destroy		It is assumed that any information of business value will have been removed from the account and stored in the relevant shared network area prior to termination of employment
IM5.7	Information in individual email accounts	Monitoring destruction of records	Electronic	TfL IM	-	Notification of the termination of individual's employment Account inactive (where IM have not been notified of termination or long term leave)	90 days 180 days	Destroy Destroy	In line with date of termination of an individual employee's email account	It is assumed that any information of business value will have been removed from the account and stored in the relevant shared network area prior to termination of employment

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

TfL information and records disposal schedule: Information Management (last updated 13 July 2016; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
IM5.8	Emails stored in Symantec Enterprise Archive Vault	Monitoring destruction of records	Electronic	TfL IM	-	Ingestion into the Vault	7 years	Destroy	As agreed by the TfL Leadership Team on 10 November 2010*	It is assumed that information which has business value for longer than 7 years will have been removed or copied from the account and stored in the relevant shared network area * The Leadership Team agreed to a gradual reduction to 2 years, but this has not yet been implemented
IM6. Information management procedures										
IM6.1	Procedure manuals or guidelines on managing records	Documenting the corporate information policies and procedures of TfL	Electronic	Information Governance	-	As superseded	-	Destroy	TNA Retention Scheduling guideline no. 9 Information Management Records	
IM6.2	Records relating to the development, implementation and review of information management policies and procedures	Documenting the corporate information policies and procedures of TfL	Electronic	Information Governance	-	Last action	5 years	Destroy	UK best practice	
IM6.3	Information surveys and records audits	Documenting the administrative responsibility, location, and format of corporate information	Electronic	Information Governance (corporate); business area (local)	-	Last action	5 years	Destroy	TNA Retention Scheduling guideline no. 9 Information Management Records	

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TfL information and records disposal schedule: Information Management (last updated 13 July 2016; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
IM7. Information storage										
IM7.1	Records relating to the control of recordkeeping systems	Tracking movement and location of hard copy records	Electronic RMWeb.Net	Information Governance	-	System is superseded	-	Destroy	TNA Retention Scheduling guideline no. 9 Information Management Records	
IM7.2	Records of tracking and location systems	Tracking movement and location of hard copy records	Electronic RMWeb.Net	Information Governance	-	System is superseded	-	Destroy	TNA Retention Scheduling guideline no. 9 Information Management Records	
IM7.3	Records relating to security of records	Tracking movement and location of hard copy records	Electronic RMWeb.Net	Information Governance	-	Last action	5 years	Destroy	TNA Retention Scheduling guideline no. 9 Information Management Records	
IM7.4	Selection and use of off-site storage facilities	Documenting the transfer of records from the business area to external storage	Electronic/hard copy	Information Governance	-	Last action	2 years	Destroy	TNA Retention Scheduling guideline no. 9 Information Management Records	
IM7.5	Records transfer data	Documenting the transfer of records from the business area to external storage	Electronic/hard copy	Information Governance (corporate); business area (local)	-	Records disposed of	2 years	Destroy	TNA Retention Scheduling guideline no. 9 Information Management Records	
IM7.6	Records requests data	Requesting records from the external storage provider	Electronic/hard copy	Information Governance (corporate); business area (local)	-	Last action	2 years	Destroy	TNA Retention Scheduling guideline no. 9 Information Management Records	
IM7.7	Archiving schedules	Data archiving	Electronic	TfL IM	-	Creation	1 year	Destroy	UK best practice	

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TfL information and records disposal schedule: Information Management (last updated 13 July 2016; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
IM7.8	Telephone call recordings	Recording telephone calls to/from customers or TfL personnel	Electronic; Digital Audio Tapes; DVDs	Business area	-	Date of recording	6 months (unless identified as being relevant to an ongoing investigation)	Destroy (*)	To allow for audit, reporting and incident management	(*)Where calls relate to major incidents it may be appropriate to offer the recordings to TfL Corporate Archives for permanent retention
IM8. Information systems management										
IM8.1	Information management system procedures manual	To comply with BS 10008:2014 s.7.5.2.1	Electronic	TfL IM	-	System de-commissioned	2 years	Destroy	To ensure that management of information in all systems, including obsolete systems, is monitored for as long as needed; also as recommended by ICSA	
IM8.2	Information management system description manual	To comply with BS 10008:2014 s.7.5.2.2	Electronic	TfL IM	-	End of lifetime of information held within the system	-	Destroy	To ensure that management of information in all systems, including obsolete systems, is monitored for as long as needed; also as recommended by ICSA	
IM8.3	Information management system audit trails	To comply with BS 10008:2014 s.7.5.3	Electronic	TfL IM	-	End of lifetime of information held within the system	-	Destroy	To ensure that management of information in all systems, including obsolete systems, is monitored for as long as needed; also as recommended by ICSA	

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TfL information and records disposal schedule: Information Management (last updated 13 July 2016; version 6.0)

Item no.	Item description	Purpose	Format/medium and location (where identified)	Administrative responsibility (where identified)	Statutory/regulatory/recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/external best practice recommendation	Additional information
IM8.4	Document scanning quality control log	To comply with BS 10008:2014 s.8.1.3	Electronic	TfL IM	-	End of lifetime of information held within the system	-	Destroy	To ensure that management of information in all systems, including obsolete systems, is monitored for as long as needed; also as recommended by ICSA	
IM8.5	Information system electronic information transfer procedures	To comply with BS 10008:2014 s.8.7.1	Electronic	TfL IM	-	End of lifetime of information held within the system	-	Destroy	To ensure that management of information in all systems, including obsolete systems, is monitored for as long as needed; also as recommended by ICSA	
IM8.6	Certificates of compliance with BS 10008:2008 and BS10008:2014	Design, development and implementation of IT systems	Electronic	TfL IM	-	End of lifetime of information held within the system	-	Destroy	To ensure that management of information in all systems, including obsolete systems, is monitored for as long as needed; also as recommended by ICSA	
IM8.7	System maintenance log	Installation, testing and operation of hardware, software and networks	Electronic	TfL IM	-	End of lifetime of information held within the system	-	Destroy	To ensure that system management is monitored for as long as needed; also as recommended by ICSA	
IM8.8	System user manual	Installation, testing and operation of hardware, software and networks	Electronic	TfL IM	-	End of lifetime of information held within the system	-	Destroy	To ensure that system management is monitored for as long as needed	

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TfL information and records disposal schedule: Information Management (last updated 13 July 2016; version 6.0)

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IM9. Information technology operations										
IM9.1	Functional specifications (generic standards for TfL/LUL)	Specification of functional and technical requirements for IT hardware, software and networks	Electronic	TfL IM	-	As superseded	-	Destroy	UK best practice	
IM9.2	Technical specifications (generic standards for TfL/LUL)	Specification of functional and technical requirements for IT hardware, software and networks	Electronic	TfL IM	-	As superseded	-	Destroy	UK best practice	
IM9.3	Configuration management / system upgrades	Specification of functional and technical requirements for IT hardware, software and networks	Electronic	TfL IM	-	End of lifetime of system	-	Destroy	To ensure that system management is monitored for as long as needed	
IM9.4	Application change control log	Specification of functional and technical requirements for IT hardware, software and networks	Electronic	TfL IM	-	End of lifetime of all systems and applications listed	-	Destroy	To ensure that system management is monitored for as long as needed	
IM9.5	Source code, including 3 rd party source code released to TfL	Specification of functional and technical requirements for IT hardware, software and networks	Electronic	TfL IM	-	End of lifetime of system	-	Destroy	To ensure that system management is monitored for as long as needed	
IM9.6	Test reports	Installation, testing and operation of hardware, software and networks	Electronic	TfL IM	-	Last action	5 years	Destroy	To ensure that system management is monitored for as long as needed	

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IM9.7	System failure reports	Installation, testing and operation of hardware, software and networks	Electronic	TfL IM	-	End of lifetime of system	-	Destroy	To ensure that system management is monitored for as long as needed	
IM9.8	Operating logs	Installation, testing and operation of hardware, software and networks	Electronic	TfL IM	-	Last action	5 years	Destroy	To ensure that system management is monitored for as long as needed	
IM9.9	Internet usage (ie web browser activity) logs	Installation, testing and operation of hardware, software and networks	Electronic	TfL IM	-	Date of creation	6 months	Destroy	To allow for the monitoring of user activity and the collection of management information	Data extracts taken as evidence of a suspected breach of TfL/LUL Policy are not subject to this retention period
IM9.10	User activity logs for systems used to process payment card data	Installation, testing and operation of hardware, software and networks	Electronic	TfL IM	-	Date of creation	1 year	Destroy	Payment Card Industry Data Security Standard version 3.0 s.10.7 requires that the audit trail history is retained for at least one year	
IM9.11	Information technology asset database – individual entry per asset	Identification and tracking of information technology assets	Electronic	TfL IM	4 years from creation of record Waste Electric and Electronic Equipment (WEEE) Regulations 2013	End of financial year in which asset has been disposed of	5 years	Destroy	To support use and maintenance of IT assets	This retention rule will be applied to legacy content held on the database that pre-dates the WEEE regulations
IM9.12	Information technology disposal certificates	Monitoring destruction of information technology assets	Electronic	TfL IM	4 years from creation of record Waste Electric and Electronic Equipment (WEEE) Regulations 2013	End of financial year in which asset has been disposed of	5 years	Destroy	To allow for audit and statistical purposes	

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IM10. Intellectual property management										
IM10.1	Documentation relating to TfL's copyright in literary, dramatic and musical works	Promoting and publicising TfL	Electronic/hard copy	Local business areas	-	Date of creation	-	Transfer to TfL Corporate Archives for permanent retention	Historical value	
IM10.2	Literary, dramatic and musical works in which TfL owns the copyright	Promoting and publicising TfL	Electronic/hard copy	Local business areas	70 years from the end of the calendar year in which the author dies or, where the author is unknown, 70 years from the end of the calendar year in which the work was made The Duration of Copyright and Rights in Performances Regulations 1995 s.5	Date of creation	-	Transfer to TfL Corporate Archives for permanent retention	Historical value	
IM10.3	Documentation relating to TfL's copyright in films	Promoting and publicising TfL	Electronic/hard copy	Local business areas	-	Date of creation	-	Transfer to TfL Corporate Archives for permanent retention	Historical value	

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IM10.4	Films in which TfL owns the copyright	Promoting and publicising TfL	Film	Local business areas	70 years from the end of the calendar year in which the authors/ director die or, where they are unknown, 70 years from the end of the calendar year in which the film is made or released The Duration of Copyright and Rights in Performances Regulations 1995 s.6	Date of creation	-	Transfer to TfL Corporate Archives for permanent retention	Historical value	
IM10.5	Documentation relating to TfL's copyright in sound recordings, broadcasts or cable programmes	Promoting and publicising TfL	Electronic/hard copy	Local business areas	-	Date of creation	-	Transfer to TfL Corporate Archives for permanent retention	Historical value	
IM10.6	Sound recordings, broadcasts or cable programmes in which TfL owns the copyright	Promoting and publicising TfL	Sound recordings	Local business areas	50 years from the end of the calendar year in which it is made or released The Duration of Copyright and Rights in Performances Regulations 1995 s.6	Date of creation	-	Transfer to TfL Corporate Archives for permanent retention	Historical value	
IM10.7	Documents evidencing assignment of trade/service marks and designs	Registration of trade marks	Electronic/hard copy	IPR Development	Cessation of registration + 6 years Limitation Act 1980 s.5	Registration ceases	7 years	Destroy	To assist in the event of any legal claims	
IM10.8	Trade mark product samples	Registration of trade marks	Electronic/hard copy	IPR Development	-	Registration ceases	7 years	Destroy	Evidential value	

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IM10.9	Certificates of trade/service marks and designs	Registration of trade marks	Electronic/hard copy	IPR Development	Cessation of registration + 6 years Limitation Act 1980 s.5	Registration ceases	7 years	Destroy	To assist in the event of any legal claims	
IM10.10	Intellectual property agreements and licences	Registration of trade marks	Electronic/hard copy	IPR Development; Muniments	Expiry of licence + 6 years Limitation Act 1980 s.5	Licence expires	7 years	Transfer to TfL Corporate Archives for review – a sample will be kept for permanent retention	To assist in the event of any legal claims	
IM10.11	Patent applications and related records	Registration of patents	Electronic/ hard copy	Local business areas	Life of patent + 6 years Limitation Act 1980 s.5	Patent expires	7 years	Destroy	To assist in the event of any legal claims	
IM10.12	Assignment of patent rights	Registration of patents	Hard copy	Local business areas	Life of patent + 6 years Limitation Act 1980 s.5	Patent expires	7 years	Destroy	To assist in the event of any legal claims	
IM10.13	Patent licences	Registration of patents	Hard copy	Local business areas	Expiry of licence + 6 years Limitation Act 1980 s.5	Licence expires	7 years	Destroy	To assist in the event of any legal claims	

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TfL information and records disposal schedule: Property and Assets (last updated 05 August 2015)

Purpose

The information and records disposal schedule which follows forms part of a set of corporate schedules for Transport for London (TfL). The schedules provide evidence of compliance with legislation such as the Data Protection Act 1998 and the Freedom of Information Act 2000, as well as adherence to TfL's [Information and Records Management Policy](#) and TfL's commitment to [transparency](#).

The schedules assist TfL to:

- Reduce multiple sets of identical records and data.
- Remove obsolete or inaccurate information.
- Improve business processes.
- Meet legislative compliance requirements.
- Create corporate rules for records disposal as part of new system implementation.

The schedules will be revised every two years or more frequently if required. They are generic documents covering records relating to the following functions:

Schedule	Reference
Contracts and Procurement	CP
Corporate Governance	CG
Employment and Pensions	EP
Finance	FN
Health and Safety	HS
Information Management	IM
Property and Assets	PY

Disclaimer

Any disposal schedule is by its nature a work in progress; it may be incomplete due to time restraints or complete at the time of publication but require amendments, additions and deletions at a future date.

Note on records disposal

There are three ways to dispose of property related records:

- Transfer them to a third party who acquires the property to which they relate;
- Destroy them at a given time; *or*
- Transfer them to TfL Corporate Archives so that they can be kept permanently as part of TfL's historical record.

Records of permanent value should be transferred to the [TfL Corporate Archives](#). Hard copy (paper) records and information on portable digital media which have to be kept for a period of time before destruction (e.g. longer than 1 year after closure) should be transferred to the [TfL Records Stores](#).

Destruction of records in accordance with the provisions of this schedule will be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation.

Scope

- The schedule below covers records relating to property and assets management, including project records relating to new buildings or improvements.
- For generic project records and contracts see the [Contracts and Procurement](#) records disposal schedule.

The provisions of the schedule are to be applied to data in all formats (electronic or paper) and in all storage locations, whether active or inactive, other than to information stored on backup tapes or discs, which are subject to a different set of disposal rules based on disaster recovery requirements, and emails held in the Symantec Enterprise Archive Vault, which has a single retention policy applied to all content once ingested into the Vault. See the *Information Management* schedule for an explanation of the retention rules applied to backup tapes or discs and the 'email archive'.

The Schedule: Property and Assets (Ref: PY)

- PY1 [Legal documents management](#)
 PY2 [Maps, plans, photographs and drawing management](#)
 PY3 [New buildings and structures or improvements projects](#)
 PY4 [New buildings and structures or improvements reports](#)
 PY5 [Property assets management](#)
 PY6 [Property maintenance](#)

TfL information and records disposal schedule: Property and Assets (last updated 05 August 2015: version 3.0)										
Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
PY1. Legal documents management										
PY1.1	Title deeds and other documents relating to freehold property	Documenting TfL title relating to buildings and surrounding land	Hard copy Muniments	Commercial Development	-	Disposal of property	-	Transfer to new freeholder those documents required (*)	Transfer of documentation to new freeholder may fulfil a contractual requirement	* Any remaining documents not transferred to new freeholder should be offered to TfL Corporate Archives
PY1.2	Leases (signed copies)	Documenting TfL title relating to buildings and surrounding land	Hard copy; electronic Muniments	Commercial Development	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Termination or expiry of lease Sale of leasehold interest Surrender of lease held as tenant before term has expired	16 years - -	Offer to TfL Corporate Archives Transfer to new leaseholder those documents required (*) Transfer back to landlord those documents required (*)	To maintain a complete record in the event of any legal claims and fulfil any contractual requirements for the transfer of documents	* Any remaining documents not transferred to new leaseholder or landlord should be offered to TfL Corporate Archives

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TfL information and records disposal schedule: Property and Assets (last updated 05 August 2015: version 3.0)

Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
PY1.3	Memoranda of terms	Documenting TfL title relating to buildings and surrounding land	Hard copy; electronic Muniments	Commercial Development	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Expiry or ceasing to be of relevance (ie date is reached whereby certain other things have not happened)	16 years (*)	Destroy	To maintain a complete record in the event of any legal claims	* Where a memorandum of terms relates to another legal document (eg lease, transfer of land) then the retention period should mirror that applied to the related document
PY1.4	Landlords' consents	Documenting TfL title relating to buildings and surrounding land	Hard copy Muniments	Commercial Development	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Surrender, expiry or termination of lease or memoranda of terms Property sold	16 years -	Destroy Transfer to new owner	To maintain a complete record in the event of any legal claims and fulfil any contractual requirements for the transfer of documents	

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PY1.5	Licences	Documenting TfL title relating to buildings and surrounding land	Hard copy; electronic Muniments	Commercial Development	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Licence superseded or terminated Property sold	16 years -	Destroy Transfer to new owner	To maintain a complete record in the event of any legal claims and fulfil any contractual requirements for the transfer of documents	
PY1.6	Subletting agreements	Documenting TfL title relating to buildings and surrounding land	Hard copy; electronic Muniments	Commercial Development	Expiry or termination + 12 years Limitation Act 1980 s.8	Agreement expired or terminated Property sold	13 years -	Destroy Transfer to new owner	To maintain a complete record in the event of any legal claims and fulfil any contractual requirements for the transfer of documents	
PY1.7	Wayleave agreements	Documenting TfL title relating to buildings and surrounding land	Hard copy; electronic Muniments	Commercial Development	Expiry or termination + 12 years Limitation Act 1980 s.8	Expiry or termination	13 years	Destroy	To maintain a complete record in the event of any legal claims	
PY1.8	Schedule of known tenant alterations	Documenting TfL title relating to buildings and surrounding land	Hard copy; electronic Muniments	Commercial Development		Surrender, expiry or termination of lease or memoranda of terms	16 years	Destroy	To maintain a complete record in the event of any legal claims	
PY1.9	Register of legal documents	Documenting TfL title relating to buildings and surrounding land	Hard copy; electronic Muniments	Commercial Development	-	Ceases to be current	16 years	Destroy	To tie in with disposal of legal documents	

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PY1.10	Tests and statutory certificates	Documenting TfL title relating to buildings and surrounding land	Hard copy Muniments	Commercial Development	Expiry or termination + 12 years Limitation Act 1980 s.8	Expiry or termination	13 years	Destroy	To maintain a complete record in the event of any legal claims	
PY1.11	Planning consents and correspondence: alterations to buildings	Documenting TfL title relating to buildings and surrounding land	Hard copy; electronic Muniments	Commercial Development	-	Disposal of asset	16 years	Review	To maintain a complete record in the event of any legal claims	
PY1.12	Planning consents and correspondence: new buildings	Documenting TfL title relating to buildings and surrounding land	Hard copy; electronic Muniments	Commercial Development	-	Disposal of asset	16 years	Review	To maintain a complete record in the event of any legal claims	
PY1.13	Listed building consents and correspondence	Documenting TfL title relating to buildings and surrounding land	Hard copy; electronic Muniments	Commercial Development	-	Disposal of asset	16 years (*)	Review (*)	To maintain a complete record in the event of any legal claims	* May have to be transferred to new owner
PY2. Maps, plans, photographs and drawing management										
PY2.1	Design drawings	Illustrating new buildings and structures or improvement programmes	Includes Computer Aided Design (CAD) drawings Relevant project team	Commercial Development; LU; Surface Transport	-	Project completion	16 years	Review – may be appropriate to offer to TfL Corporate Archives to determine historical value	To maintain a complete record in the event of any legal claims	
PY2.2	Perspective drawings	Illustrating new buildings and structures or improvement programmes	Includes Computer Aided Design (CAD) drawings Relevant project team	Commercial Development; LU; Surface Transport	-	Project completion	16 years	Review – may be appropriate to offer to TfL Corporate Archives to determine historical value	To maintain a complete record in the event of any legal claims	

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Item no.	Item description	Purpose	Format/ medium and location (where identified)	Administrative responsibility (where identified)	Statutory/ regulatory/ recommended minimum retention period and authority	Trigger (ie event that prompts the start of the TfL retention period)	TfL retention period	Disposal action (ie action taken at the end of the TfL retention period)	TfL business requirement/ external best practice recommendation	Additional information
PY2.3	Consultants' and contractors' drawings and associated records	Illustrating new buildings and structures or improvement programmes	Includes Computer Aided Design (CAD) drawings Relevant project team	Commercial Development; LU; Surface Transport	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Disposal of asset	16 years	Review – may be appropriate to offer to TfL Corporate Archives to determine historical value	To maintain a complete record in the event of any legal claims	
PY2.4	"As built" or "as installed" drawings	Illustrating new buildings and structures or improvement programmes	Includes Computer Aided Design (CAD) drawings Relevant project team	Commercial Development; LU; Surface Transport	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Disposal of asset	16 years	Review – may be appropriate to offer to TfL Corporate Archives to determine historical value	To maintain a complete record in the event of any legal claims	

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PY2.5	Presentation models, drawings or photographs	Illustrating new buildings and structures or improvement programmes	Includes Computer Aided Design (CAD) drawings Relevant project team	Commercial Development; LU; Surface Transport	-	Project completion	-	Retain one format permanently – offer to TfL Corporate Archives for permanent retention	Historical value	
PY2.6	Competition drawings	Illustrating new buildings and structures or improvement programmes	Includes Computer Aided Design (CAD) drawings Relevant project team	Commercial Development; LU; Surface Transport	-	Result announced	10 years	Review – may be appropriate to offer to TfL Corporate Archives to determine historical value	TNA: Retention Scheduling guideline no.1 Buildings Records	
PY2.7	Working copies of maps, plans and drawings	Illustrating new buildings and structures or improvement programmes	Includes Computer Aided Design (CAD) drawings Relevant project team	Commercial Development; LU; Surface Transport	-	Date of creation	12 years	Destroy	TNA: Retention Scheduling guideline no.1 Buildings Records	
PY2.8	Prints and negatives: site photographs	Illustrating new buildings and structures or improvement programmes	Includes digital photographs Relevant project team	Commercial Development; LU; Surface Transport	-	Project completion	-	Retain permanently – offer to TfL Corporate Archives for permanent retention	Historical value	
PY2.9	Prints and negatives: publicity photographs	Illustrating new buildings and structures or improvement programmes	Includes digital photographs Relevant project team	Commercial Development; LU; Surface Transport	-	Project completion	-	Retain one format permanently – offer to TfL Corporate Archives for permanent retention	Historical value	
PY2.10	Prints and negatives: work in progress	Illustrating new buildings and structures or improvement programmes	Includes digital photographs Relevant project team	Commercial Development; LU; Surface Transport	-	Project completion	16 years	Review – may be appropriate to offer to TfL Corporate Archives to determine historical value	To maintain a complete record in the event of any legal claims	

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PY3. New buildings and structures or improvements project management										
PY3.1	Specifications	Project documentation	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Expiry of contract	16 years	Review	To maintain a complete record in the event of any legal claims	
PY3.2	Bills of quantity	Project documentation	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Disposal of asset	16 years	Review	To maintain a complete record in the event of any legal claims	

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PY3.3	Tenders: rejected	Project documentation	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	Documentation shall be kept for a period of at least 3 years from the date of award of contract Public Contracts Regulations 2015 s.84	Contract awarded	3 years	Destroy	To maintain a complete record in the event of any legal claims	
PY3.4	Tenders: successful	Project documentation	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Disposal of asset	16 years	Review	To maintain a complete record in the event of any legal claims	

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PY3.5	Agreements with contractors or consultants	Project documentation	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Disposal of asset	16 years	Review	To maintain a complete record in the event of any legal claims	
PY3.6	Surveys and inspections	Project documentation	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Disposal of asset	16 years	Review	To maintain a complete record in the event of any legal claims	

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PY3.7	Publicity literature eg official openings, dedications	Project documentation	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	-	Completion of project	-	Retain one format permanently – offer to TfL Corporate Archives for permanent retention	Historical value	
PY3.8	Health and safety file	Requirement under The Construction (Design and Management Regulations) 2015 s.4	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	Where a client disposes of his entire interest in the structure they should deliver the file to the person who acquires it The Construction (Design and Management Regulations) 2015 s.4(7)	Disposal of asset	-	Transfer to new asset owner		
PY3.9	Feasibility studies, preliminary designs and other proposals not implemented	Project documentation	Includes Computer Aided Design (CAD) drawings Relevant project team	Commercial Development; LU; Surface Transport	-	Decision taken	2 years	Review	May have value for future projects	
PY4. New buildings and structures or improvements reporting										
PY4.1	Architectural reports	Reporting	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	-	Disposal of asset	16 years	Review	To maintain a complete record in the event of any legal claims	

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PY4.2	Structural engineering, mechanical and electrical engineering and drainage services reports	Reporting	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Disposal of asset	16 years	Review	To maintain a complete record in the event of any legal claims	
PY4.3	Building condition surveys	Reporting	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	-	Issue of survey	16 years	Review	To maintain a complete record in the event of any legal claims	
PY4.4	Inspections	Reporting	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	-	Date of inspection	40 years	Review	To tie in with retention of individuals' health records relating to exposure to asbestos	
PY4.5	Quadrennial inspections	Reporting	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	-	Disposal of asset	16 years	Review	To maintain a complete record in the event of any legal claims	
PY4.6	Fire precautions and services	Reporting	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	-	Disposal of asset	16 years	Review	To maintain a complete record in the event of any legal claims	

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PY4.7	Reports on timber structures	Reporting	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	-	Disposal of asset	16 years	Review	To maintain a complete record in the event of any legal claims	
PY4.8	Conservation reports (historic and listed buildings)	Reporting	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	-	Disposal of asset	16 years	Review – may be appropriate to offer to TfL Corporate Archives to determine historical value	To maintain a complete record in the event of any legal claims	
PY4.9	Site surveys	Reporting	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	-	Disposal of asset	16 years	Review – may be appropriate to offer to TfL Corporate Archives to determine historical value	To maintain a complete record in the event of any legal claims	
PY4.10	Archaeological records relating to buildings	Reporting	Electronic/hard copy Relevant project team	Commercial Development; LU; Surface Transport	-	Disposal of asset	16 years	Retain permanently – offer to TfL Corporate Archives for permanent retention	To maintain a complete record in the event of any legal claims	
PY5. Property assets management										
PY5.1	Assets registers	Recording property assets	Electronic/hard copy	Commercial Development; LU; Surface Transport	Lifetime of asset + 12 years Limitation Act 1980 s.8	Asset sold or transferred	13 years	Destroy	To maintain a complete record in the event of any legal claims	
PY5.2	Consolidated current asset reports	Recording property assets	Electronic/hard copy	Commercial Development	Lifetime of asset + 12 years Limitation Act 1980 s.8	Asset sold or transferred	13 years	Destroy	To maintain a complete record in the event of any legal claims	
PY5.3	Particulars of sale or transfer of asset	Recording property assets	Electronic/hard copy	Commercial Development	Lifetime of asset + 12 years Limitation Act 1980 s.8	Asset sold or transferred	13 years	Destroy	To maintain a complete record in the event of any legal claims	
PY5.4	Land records - allocation	Recording property assets	Electronic	Commercial Development	-	Release of land for other purposes	-	Destroy	TNA Retention Scheduling guideline no.6: Project records	

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PY5.5	Land records - procurement or disposal	Recording property assets	Electronic	Commercial Development	-	Date of disposal	13 years	Destroy	To maintain a complete record in the event of any legal claims	
PY6. Property maintenance										
PY6.1	Maintenance contracts and related documentation	Recording property maintenance	Electronic/hard copy	Commercial Development; LU; Surface Transport	Expiry of contract + 6 years or 12 years if executed as a deed Limitation Act 1980 s.5, s.8	Expiration of contract	7 or 13 years	Destroy	To maintain a complete contractual record in the event of any legal claims	
PY6.2	Maintenance schedules and programmes	Recording property maintenance	Electronic/hard copy	Commercial Development; LU; Surface Transport	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Programme or schedule superseded	16 years	Review	To maintain a complete record in the event of any legal claims	

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PY6.3	Maintenance log	Recording property maintenance	Electronic/hard copy	LU; Surface Transport	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Final entry	16 years	Destroy	To maintain a complete record in the event of any legal claims	
PY6.4	Installation surveys (plant and equipment)	Recording property maintenance	Electronic/hard copy	LU; Surface Transport	Overriding time limit for negligence actions not involving personal injuries - fifteen years from the last date of any act of, or omission causing, alleged negligence and to which the damage in respect of which damages are claimed is alleged to be attributable Limitation Act 1980 s. 14B	Date of survey	16 years	Review	To maintain a complete record in the event of any legal claims	
PY6.5	Maintenance and operational manuals	Recording property maintenance	Electronic/hard copy	LU; Surface Transport	-	Equipment disposed of or transferred to new owner	-	Destroy	TNA: Retention Scheduling guideline no.1 Buildings Records	

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PY6.6	Health and safety inspection report	Recording property maintenance	Electronic/hard copy	LU; Surface Transport	-	Date of issue	12 years	Review	TNA: Retention Scheduling guideline no.1 Buildings Records	
PY6.7	Asbestos register	Requirement under the Control of Asbestos Regulations 2012 s.7(2)	Electronic/hard copy	LU; Surface Transport	-	Last entry	40 years	Review	To tie in with retention of individuals' health records relating to exposure to asbestos	For further details on the management of other records relating to health and safety see the Health and Safety disposal schedule
PY6.8	Plant and equipment condition surveys	Recording property maintenance	Electronic/hard copy	LU; Surface Transport	-	Date of survey	10 years	Review	TNA: Retention Scheduling guideline no.1 Buildings Records	
PY6.9	Meetings with contractors: agenda, minutes and papers	Recording property maintenance	Electronic/hard copy	LU; Surface Transport	-	Date of meeting	16 years	Review	To maintain a complete record in the event of any legal claims	
PY7. Operational asset management and maintenance										
<p>This section is currently under development and will be added to a future version of the schedule. In the meantime if you have any queries in regards to the management of operational asset management and maintenance information and records email recordsmanagement@tfl.gov.uk</p>										

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