

STANDARD INFORMATION CLASSIFICATION AND RETENTION SCHEME - Revised July 2006

NOTE: EUROPEAN FUNDING RECORDS. ANY OF THE FOLLOWING CATEGORIES OF INFORMATION CAN FORM PART OF AN AUDIT TRAIL FOR EUROPEAN PROJECTS, AND SHOULD BE RETAINED FOR THE RELEVANT PERIOD. SEE CLASSIFICATION 1 "EUROPEAN FUNDING RECORDS".

	Classification	Definition	Examples	Retention¹
1	European Funding Records	Records of projects funded using European monies	<ul style="list-style-type: none"> • EU funding records • Invoices • Timesheets • Beneficiary records • Contracts • Publicity • Tender Documents • Guidance and protocols • State Aid • Performance • Policy • European Match Funding 	<p>Destroy 3 years after last payment for a particular EU programme (eg records for 2001-2006 programme must be kept until 2018)</p> <p>(European Public Funding regulations – please note: EU Commission Regulation 439/2001 (Article 7) states that member states must maintain supporting documentation/audit trail. An indicative description of the information requirements for a sufficient audit trail - it means that adequate record keeping is necessary.</p> <p>The Council Regulation 1260/1999 Article 38(6) states that supporting documentation and records must be kept "<i>for a period of three years, unless otherwise decided in the bilateral administrative arrangements, following the payment by the Commission of the final balance in respect of any assistance, the responsible authorities shall keep available for the Commission all the supporting documents</i>".</p>

¹ Retention periods refer to MASTER RECORDS. (Key drivers for retention requirements are listed in brackets)

All information copies of master records are to be treated as Working Reference Information.

All information copies must be destroyed by the date of destruction of the master records from which they were copied.

2	Auditable Accounting Records	Information concerning financial transactions required for the maintenance of auditable accounts under domestic government financial regulations	<ul style="list-style-type: none"> • For EU funding records see 1. above • Invoices and supporting claim documentation • Signed / approved Purchase Orders • Sales invoice records • Financial ledgers • Bank statements • Payment records • Balance sheets, reconciliations and associated working calculations • Payroll records • Asset valuation records 	<p>Destroy 6 years after end of accounting year</p> <p>(National Audit requirements and Finance Act regulations)</p>
3	"Welsh Assembly Government published Information" Records	Records of information released into the public domain as part of normal business practice	<ul style="list-style-type: none"> • For EU funding records see 1. above • Glossy printed literature eg annual reports, corporate and strategic plans • Newsletters, circulars • Press releases • Items published via the Internet • Official statements by Executives • Answers to questions / queries by external parties • Responses to FOI enquiries 	<p>Pass to Departmental Records Officer for archival appraisal / submission to TNA</p> <p>Key published reports: originator to ensure 5 copies are submitted to Copyright Library</p> <p>(Corporate history)</p>
4	Corporate Governance Records	Records documenting decision-making processes by Welsh Assembly Government executive bodies controlling budgetary expenditure and / or determining Welsh Assembly Government corporate policy and strategy	<ul style="list-style-type: none"> • For EU funding records see 1. above • Meeting records including agendas, minutes and discussion papers from: <ul style="list-style-type: none"> – WAG Management Board – Standing Committees eg Audit, HR and Remuneration – Senior Management Policy / Strategy Boards • Official communications with the National Assembly and other government bodies 	<p>Pass to Departmental Records Officer annually for archival appraisal / submission to TNA</p> <p>(National Audit requirements, corporate governance requirements and Corporate history)</p>

5	Stakeholder Assessment Records	Records documenting the examination and evaluation of external organisations for funding entitlement, accreditation by Welsh Assembly Government or related purposes	<ul style="list-style-type: none"> • For EU funding records see 1. above • Failed funding applications and bids (not concerning individual learners) and associated review documentation from businesses, educational institutions and training providers • Institution / company / correspondence files for funding evaluation, accreditation or other assessments • Audit reports for the assessment of external organisations • ESTYN / OFSTED/CSIW inspection records • Training Provider assessment records • Investors In People assessment records • Annual financial health monitoring files 	<p>Destroy 3 years after file is closed or assessment validity expires</p> <p>(National Audit requirements and Freedom of Information Act)</p>
6	Institutional Funding Records	Information showing the manner in which entitlements of businesses, projects and educational institutions to public funding are calculated, monitored and managed	<ul style="list-style-type: none"> • For EU funding records see 1. above • Company / institution grant award information • Company / institution grant claims (not specific to individual Learners) • Institution annual financial accounting records* • Institution funding database records* • Institution Data Collection records • Student numbers data (not regarding individual Learners)* • Institutional grant formulae, calculations and notifications • Meeting records of Funding Teams / Groups • Grant funded project management records • Periodic financial / progress reports from grant recipient institutions • Grant funding expenditure monitoring records 	<p>Review / destroy² 10 years after creation</p> <p>(National Audit requirements and European Public Funding regulations)</p> <p>*Annual 'snapshot' reports to be submitted to Departmental Records Officer for TNA retention</p>

² Review / destroy means: Assess the records for destruction or for archival value. Records not of archival value must be destroyed. Records of potential archival value are to be passed to the Records Manager for further appraisal.

7	Individual, company or other stakeholders (such as learners, farmers & voluntary sector) Records	Records concerning individuals, companies or stakeholders who apply for / receive state funding assistance for training / learning purposes	<ul style="list-style-type: none"> • For EU funding records see 1. above • Individuals such as Innovator Network members files • Individual farmer files • Individual Learning Account (ILA) files • Individual Student Records (ISR / LLWR records)* • Individual medical and social care records (e.g. CAFCAS, CSIW) • Staff Individual Records (SIR records)* • National Training Database records (NTD records), CRM databases (ISIS & Captavia) and others* • Funding applications for grants for individual • Grant claims evidence specific to individuals • Individual case files (e.g. Students with learning difficulties/disabilities; adoption) • Individual Bursary applications and award records • Records of individuals leaving funded learning schemes • Redundancy training / history files • Refused funding applications concerning individual Learners 	<p>Maintain current information in compliance with Data Protection Act. Destroy personal information 3 years after the individual leaves the scheme / programme</p> <p>Data Protection Act and National Audit requirements)</p> <p>*Annual 'snapshot' reports to be submitted to Departmental Records Officer for TNA retention</p>
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8	Contract & Agreement Records	Records of formal offers and / or acceptances between Welsh Assembly Government and other parties for the provision of goods or services and the monitoring of performance / delivery	<ul style="list-style-type: none"> • For EU funding records see 1. above • Tender documents • Purchase Orders • Contract documents • Partnership agreements • Memoranda of Understanding • Memoranda of Agreement • Contract management / monitoring records • Contact history files on individual contracts / contractors 	<p>General procurement (not educational funding): Retain for life of contract / agreement plus residual responsibilities, plus 6 years then review / destroy (Failed Tenders: retain for 3 years)</p> <p>Funding contracts & agreements: Retain as Institutional Funding Records or Individual Case Records , as appropriate</p> <p>(Contract Law, TNA Guidelines, National Audit /Welsh Audit requirements and European Public Funding regulations)</p>
9	Welsh Assembly Government Performance Records	Records demonstrating the efficiency, effectiveness or progress of educational funding, associated promotional activities and / or Welsh Assembly Government's contribution to them	<ul style="list-style-type: none"> • For EU funding records see 1. above • Statistical data collected regarding regional / national education / training activities • Regional / national education funding budget forecasting & monitoring information • Grant In Aid (GIA) claims to Welsh Assembly • Reports concerning Welsh Assembly Government's performance against targets • Welsh Assembly Government project management records • Welsh Assembly Government internal audit records • External complaints received by Welsh Assembly Government and associated responses 	<p>Review / destroy 10 years after closed or superseded</p> <p>(Corporate history and European Public Funding regulations)</p>

10	Community Liaison Records	General records of contacts with government and industry bodies, partners and others for the purposes of promoting Welsh Assembly Government's aims and objectives (not for funding, assessment or monitoring purposes)	<ul style="list-style-type: none"> • For EU funding records see 1. above • General company / institution contact files (not for funding purposes) • Contact history files concerning Partnerships and government agencies • Records of participation in external advisory and steering groups (including Governmental bodies) • Marketing, promotional and business relations project files • Historical reference files on external (government and other) projects and initiatives 	<p>Destroy 3 years after file is closed</p> <p>(National Audit requirements and Freedom of Information Act)</p>
11	Working Reference Information	Information held for reference purposes only or published information originating outside Welsh Assembly Government	<ul style="list-style-type: none"> • For EU funding records see 1. above • Personal or group subject files not clearly classified in any other classification • Government / EU & other external publications • Information copies of master records such as reports, expense claims, procedures etc. • Working drafts or documentation under development • Correspondence day files • General correspondence files 	<p>Destroy 3 years after information is superseded or file is closed</p> <p>(Business necessity and Freedom of Information Act)</p>
12	Titles and Deeds	Evidence of ownership of property	<ul style="list-style-type: none"> • For EU funding records see 1. above • Deeds of ownership • Property title documents 	<p>Dispose of at end of ownership</p> <p>(National Audit requirements and Contract Law)</p>

13	Standards & Instructional Documents	Policies, standards, procedures and other authorised documents from any / all functions, stating management intentions and instructions for application by Welsh Assembly Government personnel	<ul style="list-style-type: none"> • For EU funding records see 1. above • Policy statements and Management Directives • Standard forms • Strategic Plans • Corporate Plans • Project and operational plans • Internal Codes of Practice • Manuals • Guidelines • Job descriptions • Rules & regulations • Procedures 	Review / destroy 3 years after superseded (National Audit requirements and Freedom of Information Act)
14	Internal Management Records	Records of routine management and administrative processes within Welsh Assembly Government including meetings of non-executive and advisory bodies	<ul style="list-style-type: none"> • For EU funding records see 1. above • Internal committee and sub-committee meeting records (non-budget-holding) • Internal steering group records • Team meeting records • Team briefing records • Group / team business plans • Recruitment records • Facility, security & administration records • Job sizing and resource information • Internal departmental / project / team budgetary forecasting & monitoring information (not educational funding) 	Destroy non-current information after 3 years (Business expediency, National Audit requirements and Freedom of Information Act)
15	Personnel Records	History files of individuals' employment with Welsh Assembly Government	<ul style="list-style-type: none"> • For EU funding records see 1. above • Central Personnel files • Managers' personnel files • individual staff training records • Corporate Personnel database 	Maintain current information in compliance with Data Protection Act and Review / destroy remaining information 85 years after DOB or 5 years after last action, whichever is later (Data Protection Act and TNA guidelines)

16	Internal Health & Safety Records	Records of Health & Safety procedures, monitoring and associated work in compliance with domestic and European regulations	<ul style="list-style-type: none"> • For EU funding records see 1. above • Health & Safety audit files • Health & Safety assessment records • Health & Safety project files • Health & Safety investigation records 	Review / destroy after 40 years (Health & Safety At Work Act)
17	Records Management Records	Records and metadata captured during the implementation and operation of record keeping systems	<ul style="list-style-type: none"> • Current and historical record storage indexes • Transmittal records of materials to / from storage • Record destruction certificates • File Registration data • Zero files 	Review / destroy after 10 years (Business expediency, Freedom of Information Act and Historical posterity)