

**Welsh Assembly Government  
Retention and Disposal Schedule**

**WELSH ASSEMBLY GOVERNMENT  
RETENTION AND DISPOSAL SCHEDULES  
FOR RECORDS AND INFORMATION IN ALL FORMATS**

**2009**

## **Introduction**

Records and information are the lifeblood of any organisation. They are the basis on which decisions are made, services provided and policies developed and communicated.

Disposal scheduling is an important aspect of establishing and maintaining control of corporate information and record resources. It increases efficiency and cost-effectiveness by ensuring that records and information are disposed of when no longer needed. This enables more effective use of resources, for example space within buildings and information systems, and saves staff time searching for information that may not be there.

## **Purpose of the Retention and Disposal Schedule**

This Retention and Disposal Schedule (R&D) covers all records, irrespective of medium, and should be applied to electronic records as well as paper-based ones. The R&D provides a management tool for identifying and determining the retention and disposal of functional records created by the Welsh Assembly Government. It contains valuable information and guidance to the organisation in respect to the major categories of records and information it creates. It is therefore an important business tool and assists to guide compliance with legal obligations. This R&D has been created to form part of the Recordkeeping Plan of the Welsh Assembly Government, as required under section 46 of the Freedom of Information Code 2000 & 2009.

The aims of the R&D are to:

- Identify records and information which are worth preserving permanently and which will be transferred to the National Archives (TNA) or other Place of Deposit (PoD) for permanent storage;
- Prevent the premature destruction of records and information which need to be retained for a specific period to satisfy legal, financial and other requirements of public administration; and
- Authorise the destruction of those records and information not required for permanent retention.

### **1.3 Scope of the Retention and Disposal Schedule**

This R&D covers the functional electronic records as well as paper-based ones of:

- The Welsh Assembly Government and all its departments.

This R&D supersedes:

- Standard Information Classification and Retention Scheme (July 2006)

## **Welsh Assembly Government Retention and Disposal Schedule**

Records and information already sentenced under previously approved R&Ds which are still in the custody of Welsh Assembly Government will be re-sentenced in accordance with this R&D.

### **Revision of the Retention and Disposal Schedule**

Authorised employees of the Welsh Assembly Government's Records Service will review the structure and use of this R&D not less than every five years. The revised R&D will be submitted to the Permanent Secretary for approval prior to its implementation.

If any record categories are found, for example arising from a new function or new record type, and are not referred to in this R&D, they must not be destroyed. In such a situation the Head of Information Management & Governance must be contacted with a request to amend the R&D. No records in such a category are to be destroyed until approval is obtained from the Head of Information Management & Governance to amend this R&D. Any unauthorised destruction of records is an offence under s46 paragraph 12 of the Freedom of Information Act 2000 & 2009.

### **Recordkeeping Practices - Responsibility for Disposal of Public Records**

Disposal schedules and disposal decisions should be implemented by Records Service staff. Records Service staff will destroy records scheduled for destruction in the manner appropriate for their protective security marking. Details of disposal decisions for records should be kept, either as part of the audit trail metadata or separately.

### **Roles and Responsibilities**

All Welsh Assembly Government staff and contractors should be aware of their personal responsibility to follow the Assembly Government's business rules and create and keep accurate and complete records, both paper and digital, as part of their daily work.

All staff as well as contractors must take responsibility for ensuring that the agreed records and information of the unit, programme or project's work are created with titles that reflect their specific nature and contents to facilitate filing, retrieval, retention and availability for corporate use.

Staff must also be aware of the need to dispose of paper and digital records and information on a routine basis, in line with the Assembly Government's retention and disposal schedule.

### **Authorisation**

## **Welsh Assembly Government Retention and Disposal Schedule**

Under the Government of Wales Act 2006 authorisation of the R&D is required before a schedule can be approved. The appropriate authorising signature for the Welsh Assembly Government is that of the Permanent Secretary.

This R&D schedules is effective as of:

Signed:  
Permanent Secretary

Date (mm/dd/yy):

**Welsh Assembly Government  
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Ref No	Description of Records	Disposal Action	Recommended Custody	Comments & References
	<i>[Describe the types of documents that are placed on a file classified under the Activity Descriptor. This should <b>not</b> be the Thesaurus/Business Classification Scheme definition of the activity descriptor]</i>			
<b>Part 1</b>	<p><b>Normal day to day Business Activities</b></p> <p><i>This is used for a wide variety of records broadly concerned with the implementation of policy or action based on existing policy.</i></p>			
<b>1.1</b>	Casework	D	10 years	
<b>1.2</b>	Standards and Instructions	D	10 years	
<b>1.3</b>	Provision of advice on existing policy or procedures	D	10 years	
<b>1.4</b>	Resolution of issues using existing policy or procedures	D	10 years	
<b>1.5</b>	Regulatory activities	D	10 years	
<b>1.6</b>	Sponsorship activities	D	10 years	
<b>1.7</b>	Community liaison	D	10 years	
<b>1.8</b>	Trade Fairs etc.	D	05 years	

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<b>1.9</b>	Records of major Committees	D	30 years	
<b>1.10</b>	Information arising from Cafcass' involvement in a case	D	Retained until the child reaches the age of 35 years. In a case where more than one child is the subject of proceedings, the information will be retained until the youngest child reaches the age of 35 years, after which the entire case record will be destroyed.	

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<b>Part 2</b>	<b>Finance (including accounting records, internal audit &amp; central expenditure)</b>			<ul style="list-style-type: none"> <li>• Limitation Act 1980.</li> <li>• Finance Act 2008</li> <li>• Taxes Management Act 1970</li> <li>• Value Added Tax Act 1994</li> </ul>
<b>2.1</b>	Auditable information (non EU funded only)	D	7 years	
<b>2.2</b>	Corporate / Institutional grants	D	10 years	
<b>2.3</b>	Individual / corporate grants for learning purposes	D	10 years	
<b>2.4</b>	Stake holder grant assessment	D	10 years	
<b>2.5</b>	Information relating to financial support to public bodies and local authorities to provide a service	D	10 years	
<b>2.6</b>	Finance related back ground papers	D	10 years	
<b>2.7</b>	Small scale contracts (under £99,319 excluding VAT)	D	10 years	
<b>2.8</b>	Contracts over £99,319 (excluding VAT)	D	15 years	

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<b>Part 3</b>	<b>Building records</b>  <i>(The long term practical value of building records sets them apart from other types of records. Whereas other records may be administratively useful for 10-20 years, some building records will be required for as long as the buildings exist, which can be hundreds of years.)</i>			<ul style="list-style-type: none"> <li>Construction (Design and Management) Regulations 2007</li> </ul>
<b>3.1</b>	Specifications	R	Review 25 years after contract end	
<b>3.2</b>	Bills of quantity	R	Review 15 years after compilation	
<b>3.3</b>	Tender documents:  a) rejected b) accepted	a) D  b) D	a) Destroy 10 years after date of final paper  b) Review 15 years after project completion	

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<b>3.4</b>	Agreements with contractors and consultants	R	Review 15 years after date of final paper	
<b>3.5</b>	Surveys and inspections a) Reports - master set b) Reports – other copies	a) A b) D	a) Retain b) Destroy 2 years after issue	
<b>3.6</b>	Maintenance manuals	R	Review 15 years - Destroy when no longer required	
<b>3.7</b>	Standing instructions	R	Review 15 years - Destroy when no longer required	
<b>3.8</b>	Final accounts	R	Review 15 years - Destroy when no longer required	

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<b>3.9</b>	Client Project Board minutes and papers  a) record set b) all other copies	a) R  b) D5	a) Review 15 years - Destroy when no longer required  b) Destroy 5 years after date of last paper	
<b>3.10</b>	Tender and evaluation board papers	R	Review 7 years after contract end	
<b>3.11</b>	Certificates (authorising payment)	R	Review 15 years - Destroy when no longer required	
<b>3.11</b>	Claim and arbitration files	R	Review 15 years after settlement	
<b>3.12</b>	Deeds and Shorten Procedure Agreements (SPAs) (Title deeds are not public records within the meaning of the Public Records Act 1958 but nonetheless they are important to retain as proof of ownership.)	A	To be retained by departments beyond the 20 year period	

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<b>3.13</b>	Historical buildings (Also see Part of this schedule and detailed “CADW” schedule)		R	Review 15 years.	
<b>Part 4</b>	<b>Health and Safety</b>  <i>(Health and safety records are either required to fulfil a statutory obligation or may be needed as a prerequisite to carrying out certain activities. Failure to hold valid documents may attract the penalties of prosecution, improvement or prohibition notices.)</i>				<ul style="list-style-type: none"> <li>• Management of Health and Safety at Work Act 1999</li> <li>• Control of Substances Hazardous to Health Regulations 2002</li> </ul>
<b>4.1</b>	Control of Substances Hazardous to Health Regulations 1997  Reg 7 (10) - special provision relating to biological agents	List of employees exposed to group 3 and 4 biological agents (see the Regulations)	R	10 years after last exposure	

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<b>4.2</b>	Control of Substances Hazardous to Health Regulations 1997  Schedule 9 - special provision relating to biological agents	Where exposure may lead to a disease many years later	A	40 years after last exposure. Destroy 40 years after date of last paper.
<b>4.3</b>	Control of Substances Hazardous to Health Regulations 1997  Reg 9 - maintenance, examination and test of control measures	Examination and testing of control equipment and repairs carried out as a result	D	Destroy 5 years after date of last paper

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<b>4.4</b>	Control of Substances Hazardous to Health Regulations 1997  Reg 10 - monitoring exposure at the workplace	Exposure to hazardous substance at the workplace: a) general exposure b) personal exposure of identifiable employee	a) D  b) A	a) Destroy 5 years after date of last paper b) 40 years after last exposure. Destroy 40 years after date of last paper.	
<b>4.5</b>	Control of Substances Hazardous to Health Regulations 1997  Reg 11 - health surveillance of employees who are, or are liable to be, exposed to a substance hazardous to health	Health surveillance, including medical reports.	A	40 years from date of last entry. Destroy 40 years after date of last paper.	

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<b>4.6</b>	Factories Act General Register Order 1973	General Register (Form F31, recording details relating to the factory, such as name and address of occupier, nature of work, fire certificate, etc)	D	15 years	Only for Welsh Assembly Properties
<b>4.7</b>	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	Reportable injuries, diseases and dangerous occurrences	D	15 years	
<b>4.8</b>	Social Security (Claims and Payments) Regulations 1979	Accident book (form BI 510)	D	5 years	
<b>4.9</b>	The Ionising Radiations Regulations 1985	a) health records b) examination of respiratory protective equipment	a) R b) D	a) 15 years b) 3 years	
<b>4.10</b>	The Ionising Radiations (Outside Workers) Regulations 1993	Radiation passbook	D	5 years	
<b>4.11</b>	Control of Lead at Work Regulations 1980	Maintenance of control measures	D	5 years	

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<b>4.12</b>	Control of Lead at Work Regulations 1980	Air monitoring	D	5 years	
<b>4.13</b>	Control of Lead at Work Regulations 1980	Medical surveillance	D	40 years from date at which entry was made	
<b>4.14</b>	Control of Asbestos at Work Regulations 1987	Health surveillance (including medical reports)	D	Destroy 40 years after last record or paper filed	
<b>4.15</b>	Work in Compressed Air Regulations 1996	a) health surveillance b) exposure	D	a) 40 years from date of last entry  b) 40 years from date of last entry	
<b>4.16</b>	Special Waste Regulations 1996	Consignment note	D	3 years	

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<b>4.17</b>	Environment Protection (Duty of Care) Regulations 1991	Consignment note (controlled waste)	D	2 years	
<b>4.18</b>	Nitrate Pollution Prevention (Wales) Regulations 2008	Monitoring	D	10 years	1991 EU Nitrates Directive.

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<b>Part 5</b>	<b>Contractual (non EU funding)</b>			Legislation underpinning the retention of records relating to contracts is the <b>Limitation Act 1980</b> (as amended by similar legislation in 1984 and 1987). Other relevant statutes include: <ul style="list-style-type: none"> <li>• Unfair Contract Terms Act 1977</li> <li>• Latent Damage Act 1986</li> <li>• Consumer Protection Act 1987</li> </ul>
<b>5.1</b>	Contracts - worth less than £5,000	D	5 years	

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<b>5.2</b>	Contracts - worth more than £5,000 relating to goods	D	10 years	
<b>5.3</b>	Contracts - relating to services	R	2 years after payment of last account	
<b>5.4</b>	Contracts – (major contracts) for periods of more than ten years	R	Review 15 years. May have preservation value	
<b>Part 6</b>	<b>Project (excluding European programmes &amp; projects and State Aid)</b>			
<b>6.1</b>	Project proposals a) approved b) rejected or deferred	a) D  b) D	a) 10 years after completion of project  b) 5 years after completion of project	

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<b>6.2</b>	Project Initiation Documents (PID) and supporting documentation (including business cases)	D	10 years after completion of project.  Records relating to major projects may be reviewed at 15 year period.	

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<b>6.3</b>	Feasibility studies a) reports b) draft reports c) working papers d) correspondence	a) D  b) D  c) D  d) D	a) 10 years after issue  b) 2 years after date of last paper  c) 2 years after date of last paper  d) 5 years after date of last paper  Records relating to major projects may be reviewed at 15 year period.	

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<b>6.4</b>	Plans and Specifications (statements of requirements, operational requirements, technical plans, resource plans, etc)  a) provisional/proposed b) final c) variations	a) D  b) D  c) D	a) 5 years after completion of project  b) 10 years after completion of project  c) 10 years after completion of project	
<b>6.5</b>	Contracts and Agreements (also see Building Records – Deeds & SPAs) a) contracts under seal b) other contracts c) title deeds d) correspondence	A	Title deeds are not public records - retained for administrative purposes	

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<b>6.6</b>	Contractors a) approved nominations b) rejected nominations c) approved list d) removals/suspensions	a) D b) D c) D d) D	a) 1 year after issue b) 1 year after issue c) When new list is issued d) 6 years after the end of the project	
<b>6.7</b>	Tender Boards a) record set of papers b) other copies c) working papers d) minutes of meetings	a) D b) D c) D d) D	a) At the end of the project b) 1 year after date of last paper c) 2 years after date of last paper d) 5 years after date of last paper	

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<b>6.8</b>	Maps, plans, drawings and photographs a) master set b) working copies c) other copies	a) D b) D c) D	a) 10 years after completion of project b) At the end of the project c) 5 years after date of last paper  Records relating to major projects may be kept for Second Review (15 years)	
<b>6.9</b>	Financial documents (including investment appraisals) – Also see Finance records, accounting.	D	6 years after completion of the project	
<b>6.10</b>	Equipment and Supplies	D	6 years after completion of the project	

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<b>6.11</b>	Land records a) allocation b) procurement/disposal	a) D b) D	a)When land is released for other purposes b)12 years after date of disposal	
<b>6.12</b>	Human resources – see <i>Part Employee personnel records (human resources)</i>		Originals should be with Personnel Department	
<b>6.13</b>	Health and Safety Records – see <i>Part D: Health and Safety</i>			
	Project Boards, Assessment Meetings, etc a) minutes b) correspondence	a) D b) D	a) 5 years after date of last paper b) 5 years after date of last paper  Records relating to major projects may be kept for Second Review (15 years)	

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<b>6.14</b>	Reports (stage assessments, quality reviews, highlight reports, GANTT charts, VSIO, etc) a) interim b) final c) evaluation d) draft	a) D b) R c) R d) D	a) 5 years after issue b) Keep for Second Review c) Keep for Second Review d) At the end of the project	
<b>6.15</b>	Product descriptions	D	5 years after completion of project	
<b>6.16</b>	Project operating manuals	D	5 years after completion of project	
<b>6.17</b>	Miscellaneous records, such as: copies of documentation from other projects; information on products, equipment, machinery, etc; training courses; correspondence	D	2 years after completion of project	

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<b>Part 7</b>	<b>Complaints</b>			The handling of some of this information is subject to the provisions of the Data Protection Act 1998.
<b>7.1</b>	Policy statements	R	R 15 years (or when superseded)	
<b>7.2</b>	System handbook/guide			
<b>7.3</b>	Minutes of meetings of Complaints Committee, Service Standards Team, etc	D	Destroy 10 years	
<b>7.4</b>	Surveys	D	3 years	
<b>7.5</b>	Case records - Enquiries	D	3 years	
<b>7.6</b>	Case records - Investigations	D	10 years	
<b>7.7</b>	Case records - Statistical reports	D	5 years	
<b>7.8</b>	Case records - Reports on particular complaints or on categories of complaints	D	3 years	

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<b>7.9</b>	Case records - Precedents	R	Review after 10 years	
<b>7.10</b>	Case records - Register of Complaints	D	10 years	
<b>7.11</b>	Reviews - Correspondence and papers	D	10 years	
<b>7.12</b>	Reviews - Reports	D	03 years	
<b>Part 8</b>	<b>Press and Public Relations</b>			
<b>8.1</b>	Dealing with the media and the public - Press releases	D	7 years	
<b>8.2</b>	Dealing with the media and the public - Press cuttings	D	1 month	
<b>8.3</b>	Dealing with the media and the public - Operational notes (notices to press about forthcoming events or conferences)	D	3 months	
<b>8.4</b>	Dealing with the media and the public - Press conference reports/previews	D	3 years	
<b>8.5</b>	Dealing with the media and the public - Press reports digests	D	7 years	
<b>8.6</b>	Internal records - Correspondence with branches of the media	D	7 years	

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<b>8.7</b>	Internal records - Policy and administrative records	R	15 years	
<b>8.8</b>	Internal records - Handbooks and guides to media/public relations	R	15 years (destroy when superseded)	
<b>8.9</b>	Internal records - Reports on media/public relations	D	7 years	
<b>8.10</b>	Image library records (non WAG copyright material should not be stored on WAG systems beyond the terms of the agreement)	D		
<b>Part 9</b>	<b>Freedom of Information</b>			
<b>9.1</b>	Policy - Procedures for handling FOI requests and other documents regarding practical implementation of FOI <ul style="list-style-type: none"> <li>• Retention and Disposal Policy</li> <li>• Documents on the organisation’s FOI policy</li> <li>• Case Records which lead to the development of precedents and best practice</li> </ul>	R	15 years  May have archival or reference value. Consider for permanent preservation.	

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<b>9.2</b>	Individual Transaction Records - Case file records detailing the FOI request, the consideration of possible exemptions and subsequent appeals	D3	3 years after date of creation	
<b>9.3</b>	Access Status Records - Statistical data about the number of requests you answered and their outcomes etc	R	15 years  Publish data as part of publication scheme	
<b>9.4</b>	Access Status Records - Details of what access decisions have been taken about your records especially any redacted versions of documents you have released	R	15 years	
<b>9.5</b>	Information subject to a FOI request but scheduled for destruction	D	6 Months from the date of the last correspondence on the matter	
<b>9.6</b>	Records of any financial transactions (see Part B of this schedule)			

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<b>Part 10</b>	<b>Information and Records Management</b>			
<b>10.1</b>	Record keeping - Records relating to the control of record keeping systems	R15	15 years (When system is superseded)	

**Welsh Assembly Government  
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action  A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	Recommended Custody	Comments & References
10.2	Record keeping - Documentation of record series (“zero files”)	A	(a) preserve permanently for series from which records have been transferred to TNA or place of deposit  (b) destroy when all records in the series have been destroyed	

**Welsh Assembly Government  
Retention and Disposal Schedule**

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		<b>A – Archive or Permanent</b> <b>D – Destroy</b> <b>R – Review (paper only)</b> <b>T – Transfer</b> <b>M – Migrate</b>		
<b>10.3</b>	Record keeping - Records relating to services provided to the rest of the Welsh Assembly Government	D	5 years	
<b>10.4</b>	Documentation on applications by the Welsh Assembly Government for variations to the twenty year rule (before June 2009 known as the thirty year rule)	D	2 years after variation has lapsed	
<b>10.5</b>	Documentation relating to the disclosure status of records under FOI	R	15 years	
<b>10.6</b>	Information surveys, record audits and registry inspections	D	5 years	
<b>10.7</b>	Applications to the Lord Chancellor for the retention of records under section 3(4) of the Public Records Act 1958 and related Correspondence (Lord Chancellor's Instrument – LCI)	D	10 years	
<b>10.8</b>	Internal publications	D	When superseded	
<b>10.9</b>	Schedules of records loaned to other organisations (See also <i>Records Management Standards: Discontinued and Transferred Functions</i> )	D	Until disposal of the records covered	

**Welsh Assembly Government  
Retention and Disposal Schedule**

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		<b>A – Archive or Permanent</b> <b>D – Destroy</b> <b>R – Review (paper only)</b> <b>T – Transfer</b> <b>M – Migrate</b>		
<b>10.10</b>	Donations of records to the department	R	15 years or as long as record is held by the Welsh Assembly Government	
<b>10.11</b>	Freedom of Information requests (also see Part J)  a) for documents already open 1 year b) for documents which are subsequently opened c) for documents which remain closed	a) D b) D c) D	a) 1 year b) 2 years c) 10 years	
<b>10.12</b>	Disposal - Disposal schedules	A	Retain permanently	
<b>10.13</b>	Disposal - Correspondence and papers relating to the compilation of disposal schedules	D	10 years	

**Welsh Assembly Government  
Retention and Disposal Schedule**

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		<b>A – Archive or Permanent</b> <b>D – Destroy</b> <b>R – Review (paper only)</b> <b>T – Transfer</b> <b>M – Migrate</b>		
<b>10.14</b>	Disposal - Review lists, including information from systems such as DRUID	A	Retain permanently	
<b>10.15</b>	Lists, certificates, docket books or databases of records destroyed	A	Retain permanently	
<b>10.16</b>	Copies of catalogues/lists of records transferred to TNA or other place of deposit	D	5 years	
<b>10.17</b>	Retrieval of records from TNA or other place of deposit	D	2 years	
<b>10.18</b>	Documentation on presentations under section 3(6) of the Public Records Act 1958 and Part 2 of section 46 of the Freedom of Information Act 2000	D	5 years	
<b>10.19</b>	Storage - Security of records	D	5 years	
	Storage - Records of tracking and location systems as well as finding aids	D	When system is superseded	
<b>10.20</b>	Storage - Records relating to the use of on-site storage areas	D	10 years	
<b>10.21</b>	Storage - Records relating to the retrieval of records from off-site storage	D	2 years	

**Welsh Assembly Government  
Retention and Disposal Schedule**

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<b>10.22</b>	General management - Records relating to the development, implementation and review of information management policy	R	15 years	
<b>10.23</b>	General management - Guides, manuals and instructions on the management of records	R	15 years	
<b>10.24</b>	General administrative records, including routine correspondence relating to the provision of information management services see: Part - finance, Part - health and safety, and Part – projects)			
<b>10.25</b>	Risk Management - Risk register relating to the information management function.	D	7 years after next risk assessment	
<b>10.25</b>	Security - Records documenting major security breaches where classified records and information have been removed from official custody and passed to a third party. Includes referral to law enforcement authorities.	P	Retain as National Archives (TNA)	
<b>10.26</b>	Control - Records relating to administrative and operating arrangements for library services.	D	10 years	

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Retention and Disposal Schedule**

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		<b>A – Archive or Permanent</b> <b>D – Destroy</b> <b>R – Review (paper only)</b> <b>T – Transfer</b> <b>M – Migrate</b>		
<b>10.27</b>	Intellectual Property – Copyright - Records relating to ownership by the Assembly Government of Crown copyright.	P	Retain	
<b>10.28</b>	Intellectual Property – Copyright - Applications by the Assembly Government for permission to reproduce material held under copyright by other individuals/ organisations.	D	Retain for 7 years after last action.	
<b>10.29</b>	Intellectual Property – Copyright - Copyright agreements.	D	Retain for 7 years after last action.	
<b>10.30</b>	Legal opinions regarding major copyright issues.	P	Retain permanently.	
<b>Part 11</b>	<b>Technology &amp; Telecommunications</b>			
<b>11.1</b>	Acquisition - Records relating to the acquisition of information and communications technology and systems, including planning, selection, specifications, systems documentation and purchase	R	Review 15 years (Retain for 5 years after system is superseded)	

**Welsh Assembly Government  
Retention and Disposal Schedule**

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		<b>A – Archive or Permanent</b> <b>D – Destroy</b> <b>R – Review (paper only)</b> <b>T – Transfer</b> <b>M – Migrate</b>		
<b>11.2</b>	Acquisition - Software licenses and up-grade agreements	R	Retain until software is upgraded or disposed of	
<b>11.3</b>	Application Development - Records documenting the development or modification of specific information and communications technology and systems, including testing documentation.	R	Retain for 5 years after system is superseded	
<b>11.4</b>	Data control and management - Records relating to the maintenance of data integrity, including data logging records. (Also see Part 10)	R	Retain for 2 years after last action	
<b>11.5</b>	Data control and management - Data logging records for on-line and internet resources that provide information or advice which may have possible legal significance (e.g., system access logs, internet access logs, system change logs and audit trails, etc, which show a history of access or change to data). (Also see Part 10)	R	Retain for 7 years after last action	

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Retention and Disposal Schedule**

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		<b>A – Archive or Permanent</b> <b>D – Destroy</b> <b>R – Review (paper only)</b> <b>T – Transfer</b> <b>M – Migrate</b>		
<b>11.6</b>	Data – control and management - Records relating to the migration of information and communications systems and data from one platform to another.	R	Retain for 1 generation after migration	
<b>11.7</b>	Evaluation - Records relating to evaluation of information and communications technology and systems.	R	Retain for 5 years after last action	
<b>11.8</b>	Installation - Records relating to the installation and disposal of information and communications technology and systems.	R	Retain for 5 years after disposal of system.	
<b>11.9</b>	Maintenance - Records relating to the regular maintenance and repair of information and communications technology and systems.	R	Retain for 2 years after last action.	
<b>11.10</b>	Operations - Operation manuals for information and communications technology hardware and software.	R	Retain for the life of the system.	
<b>11.11</b>	Operations - Records relating to routine operation of information and communications technology, including administration of user access/ permissions.	R	Retain for 2 years after last action.	
<b>11.12</b>	Operations - Records relating to the monitoring of internet users' serious breaches of access rights, including system logs.	R	Retain for 7 years after last action.	

**Welsh Assembly Government  
Retention and Disposal Schedule**

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		<b>A – Archive or Permanent</b> <b>D – Destroy</b> <b>R – Review (paper only)</b> <b>T – Transfer</b> <b>M – Migrate</b>		
11.13	Operations - Records relating to the monitoring of internet users' minor breaches of access rights, including system logs.	R	Retain for 1 year after last action.	
11.14	Planning - Records relating to the development of information and communications systems strategic plan.	R	Retain for 3 years after last action.	
11.15	Planning - Information and communications systems strategic plan.	R	Retain for 5 years after last action.	
11.16	Privacy - Records relating to the implementation of information privacy principles and guidelines in agency information and communication technology and systems.	R	Retain for 5 years after superseded.	
11.17	Security - Records relating to security of information and communication technology and systems.	R	Retain for 2 years after change or disposal of system.	
11.18	Security - Records relating to serious breaches of security, including unauthorised access to a computer network, alteration of data, etc.	R	Retain for 7 years after last action.	
11.19	Security - Records relating to minor breaches of security, including unauthorised access to a computer network, alteration of data, etc.	R	Retain for 2 years after last action.	

**Welsh Assembly Government  
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody	Comments & References
		<b>A – Archive or Permanent</b> <b>D – Destroy</b> <b>R – Review (paper only)</b> <b>T – Transfer</b> <b>M – Migrate</b>		
<b>Part 12</b>	<b>State Aid</b> <i>(State Aid is: any aid from the public resources (e.g. grants, loans, tax exemptions, acquisition of shares, debt write off, guarantee, provision / purchase of goods and services at below market rates... etc.) granted to an undertaking (an undertaking is any legal entity carrying out a commercial activity; a commercial activity is anything that can be bought or sold) which distorts or threatens to distort competition by favouring certain undertakings or the production of certain goods and affects trade between the member states of the European Union.)</i>			
<b>12.1</b>	State Aid grants, loans, tax exemptions	A		
<b>12.2</b>	European Regional Development Fund 2007-13 <ul style="list-style-type: none"> <li>• De Minimis Exemption</li> <li>• General Block Exemptions and Aid for some Research and Development activity.</li> <li>• (The de-minimis threshold is €200,000)</li> </ul>	A	Retain all records until 31 December 2025 (this is the documentation retention date for the ERDF funding)	

**Welsh Assembly Government  
Retention and Disposal Schedule**

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		<b>A – Archive or Permanent</b> <b>D – Destroy</b> <b>R – Review (paper only)</b> <b>T – Transfer</b> <b>M – Migrate</b>		
<b>Part 13</b>	<b>European funded programmes and projects</b>  <i>(Projects can be subject to audit at any time up to three years after Programme closure and it is therefore a requirement of grant that original documents are retained and capable for inspection over this entire period. Failure to produce evidence can result in the repayment of grant.)</i>			
<b>13.1</b>	2007 – 2013 European funded programmes & projects <ul style="list-style-type: none"> <li>• Convergence covering West Wales and the Valleys</li> <li>• Regional Competitiveness and Employment covering East Wales</li> <li>• Territorial Co-operation, including the Ireland-Wales Cross-border programme</li> </ul>	D	2025	
<b>13.2</b>	2000 – 2006 European funded programmes & projects	D	2018	
<b>13.3</b>	1997 – 1999 Industrial South Wales (ISW)	D	2015	

**Welsh Assembly Government  
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		<b>A – Archive or Permanent</b> <b>D – Destroy</b> <b>R – Review (paper only)</b> <b>T – Transfer</b> <b>M – Migrate</b>		
<b>13.4</b>	Common Agricultural Policy (CAP) - European Union agricultural subsidies and programs system	D	10 years	
<b>13.5</b>	European funding related policy documents	D	10 years	
<b>Part 14</b>	<b>Employee personnel records (human resources)</b>			
<b>14.1</b>	Individual personnel file	D	100 years from date of birth	
<b>14.2</b>	Supplementary personnel information	D	10 years	
<b>14.3</b>	Appointment to public bodies	D	10 years	
<b>14.4</b>	Health and Safety records	D	40 years	
<b>14.5</b>	Information regarding secondees appointments held line section (not HR)	D	10 years	
<b>14.6</b>	Appraisal reports / Performance management reviews	D	5 years	
<b>14.7</b>	Health	D	100 years from date of birth	

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		<b>A – Archive or Permanent</b> <b>D – Destroy</b> <b>R – Review (paper only)</b> <b>T – Transfer</b> <b>M – Migrate</b>		
<b>14.8</b>	Pay & Pension	D	100 years from date of birth	
<b>14.9</b>	Welfare	D	5 years after last action	
<b>14.10</b>	Security	D	5 years after leaving (if at normal retirement age)  10 years after leaving (if before normal retirement age)	
<b>Part 15</b>	<b>Potential Historical Interest / Welsh Assembly Government Assets</b>			

**Welsh Assembly Government  
Retention and Disposal Schedule**

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		<b>A – Archive or Permanent</b> <b>D – Destroy</b> <b>R – Review (paper only)</b> <b>T – Transfer</b> <b>M – Migrate</b>		
<b>15.1</b>	<p>New Policy</p> <p>This includes the records documenting the development, modification, formal acceptance and dissemination of new Welsh Assembly Government policies or procedures. The Welsh Assembly Government should ensure it creates and keeps policy documents that show it implements FoI and fulfils its legal obligations.</p>	R	15 years	
<b>15.2</b>	Contractual information (major contracts) see also 5.4	R	15 years	
<b>15.3</b>	Deeds – see Part 3	P	To be retained by departments beyond the 20 year period	
<b>15.4</b>	Historical Interest / Major issues (e.g. E.Coli, flooding, etc.)	R	15 years	
<b>15.5</b>	Published Assembly Government information	R	15 years	
<b>15.6</b>	Welsh Assembly Government decisions	R	15 years	

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<b>15.7</b>	Major Welsh Assembly Government committees (WAG Board papers, Strategic Delivery & Performance Board papers, Business Group, Operations Group, EAAC, Transport, Health etc)	R	15 years	
<b>15.8</b>	Listed buildings & other historical property	R	15 years	
<b>15.9</b>	Key planning information and surveys	R	15 years	
<b>15.10</b>	Ministerial Correspondence	R	15 years	
<b>15.11</b>	Assembly Questions/ Briefings/Submissions	R	15 years	
<b>15.12</b>	Commissioned research papers	R	15 years	
<b>15.13</b>	Freedom of Information	R	R 15 years	

**Welsh Assembly Government  
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody	Comments & References
Part 16	<p><b>Databases, Websites and Intranet</b></p> <p>This section refers to records contained in various databases and websites maintained by the Welsh Assembly Government. It also includes the intranet.</p> <p>Legal/regulatory or other business needs may justify further retention beyond the time the digital version of the records/information must be retained; however, these needs can usually be satisfied by transferring or migrating the data onto an alternative medium for ongoing retention.</p> <p>Digital information and records are at high risk of degrading or being irretrievably lost within five (5) to seven (7) years from creation, due to constantly changing technology.</p>	<p><b>A – Archive or Permanent</b>  <b>D – Destroy</b>  <b>R – Review (paper only)</b>  <b>T – Transfer</b>  <b>M – Migrate</b></p>	<p><b>Online</b> retention period (in primary storage)</p> <p><b>Nearline</b> retention period (time period the data needs to remain onsite but offline, in secondary storage devices)</p> <p><b>Total retention</b> period (length of time the data should remain in computer-processable form, after which it should be purged entirely from any and all storage devices)</p>	

**Welsh Assembly Government  
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody	Comments & References
16.1	<p><b>Electronic Records and Document Management System (ERDMS)</b></p> <p>The system contains information (mostly word documents and emails covering all of Welsh Assembly Government's business functions and activities:</p> <ul style="list-style-type: none"> <li>• Business Governance</li> <li>• Communications, Publications &amp; Promotions</li> <li>• Estate &amp; Facilities Management</li> <li>• Financial Management</li> <li>• Government Business</li> <li>• Human Resources Management</li> <li>• Information &amp; Systems Management</li> <li>• Internal Audit</li> <li>• Legal Advice</li> <li>• Legislation Development</li> </ul> <p><small>https://wales365uk-my.sharepoint.com/personal/kate_roberts009_gov_wales/Documents/Documents/A301323.doc Created on 17/04/2026 11:00:00 Final version</small></p> <p>iShare Making the most of our information</p>	<p><b>A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate</b></p>	See Parts 1 – 15 for total retention period	<p>For electronic records, controlled deletion or removal of the record following the scheduled retention period, is the equivalent of destruction.</p> <p style="text-align: center;">46 November 2009</p>

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody	Comments & References
Part 17	<p><b>Defunct Functions / Changes in Government Machinery</b></p> <p>This section refers to series of records no longer created by the Welsh Assembly Government due to the function to which they relate no longer being the responsibility of this organisation. Records relating to those functions created prior to the function becoming defunct are to be managed in accordance with this R&amp;D.</p>	<p>A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate</p>		

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<b>17.1</b>	Commissioning of tertiary ("third level") and other specialist services (Health Commission Wales).		31 March 2010	Health Professions Wales (HPW) abolished 1 April 2006. 1 April 2003 these activities transferred into the Assembly as Health Commission Wales (HCW). HWC will transfer out on 31 March 2010.
<b>17.2</b>	Assembly Parliamentary Services (APS)			Split in May 2007

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<b>17.3</b>	Wales Youth Agency			Transferred out of the Assembly Government on 1 January 2006
<b>17.4</b>	DERFA (Animal Health Agency)			Transferred out of the Assembly Government in October 2008

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Retention and Disposal Schedule**

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17.6	NHSHR – Workforce & Education Branch (WAG – to – NLIAD)			On 1 April 2006 the functions of the at the NHSHR - WORKFORCE & EDUCATION BRANCH at the Welsh Assembly Government transferred to the National Leadership and Innovation Agency for Healthcare (NLIAH).