

Welsh Assembly Government Retention and Disposal Schedule

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

2009 as Amended May 2011

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;

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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)

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 Departmental Records Officer (DRO) 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 DRO to amend this R&D. Any unauthorised destruction of records is an offence under s46 paragraph 12 of the Freedom of Information Acts 2000 & 2009.

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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.

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Authorisation

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): 25/01/10

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What Is A Retention Schedule?

A Retention Schedule is a list of records that need to be kept by the Welsh Assembly Government for a specific length of time. This schedule contains recommended retention periods for records created and maintained by the Assembly Government and refers to all information regardless of the media in which it is stored, i.e. manual files, digital/electronic files (iShare), files on shared drives, photographs, computer files, tapes, email, social media, microfiche, etc.

The aim of this Retention Schedule is to provide a consistent approach to the way the Assembly Government handles its records, and provide a clear set of guidelines to all staff, thereby supporting the Assembly Government's Corporate Information and Record Management Policy. A Retention Schedule serves the purpose of identifying records that may be worth preserving permanently for transfer to a Place of Deposit such as the National Archives (TNA) as well as preventing the premature destruction of records that need to be retained for a specific legal, financial or statutory period.

It is important to remember that this Retention Schedule is a Corporate Document. This means that it will be used externally as a reference tool by members of the public when they wish to search for information under different legislative regimes. It is also a 'living document' that will require amending and updating as and when retention details change, new information is kept, or regulations and legislation that govern information and its use are introduced or altered.

As these schedules are fluid, alterations or temporary exceptions to the schedule may be appropriate in certain circumstances. This schedule will also be reviewed on a bi-annual basis.

This Retention Schedule details the function of each record, the type of records that may fall within this function and the length of time the Assembly Government should hold the record before taking disposal or archive action. Many retention periods are determined by statute. Where available or appropriate the relevant legislation or statutory reason for keeping a record for a specific period of time has been included, and the required disposal action once this document reaches the end of its 'retention lifecycle' has also been given. In conclusion, good Records Management is not difficult; simply put, the Assembly Government needs to keep accurate and timely records for the appropriate period of time, making sure that obsolete records are securely

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disposed of in an appropriate manner and the disposal actions are recorded on the Assembly Government's recordkeeping system, iShare.

How to Use This Schedule

The Schedule is broken down into 19 function areas:

1. Normal Day-to-Day Business Activity Records
2. Financial Records
3. Building Records
4. Health and Safety Records
5. Contractual Records (which don't attract EU funding)
6. Project Records
7. Complaints Records
8. Press and Public Relations Records
9. Freedom of Information Records
10. Information and Records Management Records
11. Technology & Telecommunications Records
12. State Aid Records

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13. EU Funded Programmes and Projects
14. HR Records
15. Potential Historical Interest Records
16. Databases, Websites and Intranet
17. Defunct Functions and Changes in Government Machinery
18. Care and Social Services Inspectorate Wales (CSSIW) records
19. Health Inspections Records
20. Heritage and Ancient Monuments
21. Transport
22. CAFCASS Cymru Records
23. Sea Fisheries Committees
24. Agriculture
- 25 Private Office

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Definitions of Terms Used

A – Archive or Permanent Retention

These records have historic or other long-term value. It covers areas such as administrative, fiscal, legal, evidential and / or informational, which justify the indefinite or permanent retention of the records. These records may be offered to The National Archives or another suitable Place of Deposit for permanent preservation.

D – Destroy

This record is of a routine business nature and can be destroyed when the business need for the record has expired.

R – Review

Reviews are only carried out for paper records. The records will be reviewed after a set period to decide whether they should be destroyed now or at a set time in the future, or whether they should be offered to The National Archives or another suitable Place of Deposit for permanent preservation.

T – Transfer

These records will be transferred to The National Archives or another suitable Place of Deposit for permanent preservation.

M – Migrate

Migrations are only carried out on digital records. Migration occurs 10 years after the digital records were created, and may involve the records being transferred to a different electronic format in order to ensure the future accessibility and security of the records. The records may also be transferred to The National Archives or another suitable Place of Deposit for permanent preservation.

It is likely that you will have records in more than one function area. Everyone will have records in part 1 which covers your day-to-day business activities such as the formulation of policy and procedures, meetings etc. In order to derive the retention value for your records you need to identify the function area that the records cover. For example, routine financial documents are under part 2 of the schedule. Read down the schedule to establish the best fit for your record types and the categories listed on the schedule. Repeat this process for each category of function that you have.

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
Part 1	Normal day to day Business Activities <i>This is used for a wide variety of records broadly concerned with the implementation of policy or action based on existing policy.</i>			
1.1	Casework	D	10 years	
1.2	Standards and Instructions	D	10 years	
1.3	Provision of advice on existing policy or procedures	D	10 years	
1.4	Resolution of issues using existing policy or procedures	D	10 years	

¹ Trigger Dates for Records with a Disposal Action of Destroy. The custody or retention period for registered files marked for eventual destruction begins when the file record is closed. If not formally closed earlier, all Welsh Assembly Government registered file are deemed to be closed 5 years after they have been created. E.g. a registered file closed 3 years after creation with a retention period of 10 years will be kept for 13 years in total.

Trigger dates for Records with a Disposal Action of review. Unless otherwise stated registered files marked for review are reviewed 15 years after they are created and a decision made whether to keep them for a further period, or to destroy them, or to offer them to a place of deposit such as The National Archives.

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
1.5	Regulatory activities	D	10 years	
1.6	Sponsorship activities	D	10 years	
1.7	Community liaison	D	10 years	
1.8	Trade Fairs etc.	D	5 years	
1.9	Records of major Committees	D	30 years	

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Ref No	Description of Records	Disposal Action A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	Recommended Custody ¹	Comments & References
1.10	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.	
1.11	Charters – e.g. Citizens Charter	D	5 years	
1.12	Honours and Royal Functions	R (paper) M (digital)	15 years	

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
1.13	Market Testing a) Not a European Supplier b) If a European Supplier	a) D b) see European Funding	a) 7 years b) see European Funding	
1.14	Housing and Community – Voluntary Sector	R (paper) M (digital)	15 years	
Part 2	Finance (including accounting records, internal audit & central expenditure)			Limitation Act 1980. Finance Act 2008 Taxes Management Act 1970 Value Added Tax Act 1994
2.1	Auditable information (non EU funded only)	D	7 years	
2.2	Corporate / Institutional grants	D	10 years	
2.3	Individual / corporate grants for learning purposes	D	10 years	
2.4	Stake holder grant assessment	D	10 years	

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
2.5	Information relating to financial support to public bodies and local authorities to provide a service	D	10 years	
2.6	Finance related background papers	D	10 years	
2.7	Small scale contracts (under £99,319 excluding VAT)	D	10 years	
2.8	Contracts over £99,319 (excluding VAT)	D	15 years	
2.9	Transactions, Reports and “Information not acted upon”	D	5 years	To combat money laundering - Financial Services Act 2010
2.10	Accounting records a) private companies b) public limited companies	a) D b) D	a) 3 years b) 7 years	Section 221 of the Companies Act 1985 as modified by the Companies Acts 1989 and 2006

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		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
2.11	Insurance - Liability Insurance Policies Administration a) Renewal administration b) Temporary insurance arrangement c) Liability insurance policies d) Employer's liability insurance certificates e) Motor vehicle insurance policy certificates f) Schedule of liability policy insurers and limits g) Travel policy schedule of persons insured	a) D b) D c) D d) D e) D f) R (paper) g) D	a) 6 years b) years c) 100 years d) 40 years e) 40 years f) 15 years g) 20 years	a) after superseded b) after end of cover period c) after date of policy expiry d) after date of policy expiry e) after date of policy expiry f) after date of policy expiry g) after date of policy expiry

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
2.12	Insurance - Non-Liability Insurance Policies Administration Non-liability insurance policies	D	6 years	after date of policy expiry
2.13	Insurance - Insured Property Inventory a) Buildings and contents inventory b) Motor vehicles inventory c) Insured equipment inventory d) Insured ICT equipment	a) D b) D c) D d) D	a) 6 years b) 6 years c) 6 years d) 6 years	a) after superseded b) after superseded c) after superseded d) after superseded

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
2.14	Insurance - Insurance Claims Administration a) Employer's liability claims administration b) Public liability claims administration (excluding minors) c) Public liability claims administration (minors) d) Officials indemnity, libel and slander e) Public liability property damage claims administration (under £1,500) f) Industrial disease claims administration	a) D b) D c) D d) D e) D f) D	a) 6 years b) 6 years c) 21 years d) 6 years e) 6 years f) 100 years	a) date of settlement/repudiation b) date of settlement/repudiation c) from date of birth d) date of settlement/repudiation e) date of settlement/repudiation f) from date of birth

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
2.15	Insurance - Non-Liability Claims Administration a) Motor vehicle own accident damage claims administration b) Motor vehicle third party claims administration (excluding minors) c) Motor vehicle third party claims administration (minors) d) Property claims administration e) Travel claims administration f) Fidelity guarantee claims administration	a) D b) D c) D d) D e) D f) D	a) 6 years b) 6 years c) 21 years d) 6 years e) 6 years f) 6 years	a) date of settlement b) date of settlement/repudiation c) from date of birth d) date of settlement/repudiation e) date of settlement/repudiation f) date of settlement/repudiation

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
2.16	Insurance - Claims History Recording a) Liability claims history recording b) Claims (other) history recording	a) R (paper) b) R (paper)	a) 15 years b) 15 years	a) after date of creation b) after date of creation
2.17	Insurance - Liability Insurance Policies Administration a) Property owner's liability insurance policies and folios	a) D	a) 100 years	a) after date of policy expiry

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		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
2.18	Insurance - Insurance Claims Administration a) Liability claims administration (excluding minors) b) Liability claims administration (minors) c) Property claims administration d) Claims history recording	a) D b) D c) D d) R (paper)	a) 6 years b) 21 years c) 6 years d) 15 years	a) date of settlement/repudiation b) from date of birth c) date of settlement/repudiation d) date of creation
2.19	Insurance - Non-Liability Policies Administration a) Balance of risks policies	a) D	a) 6 years	a) after date of policy expiry

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
2.20	Insurance - Insurance Financial Management a) Liability policy reconciliation b) Non-Liability policy reconciliation c) Trading Account reconciliation d) Premium allocation e) Premium payment ledger f) Liability funding analysis	a) R (paper) b) R (paper) c) D d) D e) D f) D	a) 15 years b) 15 years c) 6 years d) 6 years e) 6 years f) 25 years	a) date of creation b) date of creation c) date of creation d) date of creation e) date of creation f) date of creation/receipt

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
2.21	Insurance - Operational Risk Management a) Insurance loss control surveying	a) D	a) 6 years	a) after date actioned
Part 3	Building records <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>			Construction (Design and Management) Regulations 2007
3.1	Specifications	R (paper) M (digital)	25 years after contract end	
3.2	Bills of quantity	R (paper) M (digital)	15 years after compilation	

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
3.3	Tender documents a) rejected b) accepted	a) D b) R (paper) M (digital)	a) Destroy 10 years after date of final paper b) 15 years after project completion	
3.4	Agreements with contractors and consultants	R (paper) M (digital)	15 years after date of final paper	
3.5	Surveys and inspections a) Reports - master set b) Reports – other copies	a) A b) D	a) Retain permanently b) Destroy 2 years after issue	
3.6	Maintenance manuals	R (paper) M (digital)	15 years - Destroy when no longer required	

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
3.7	Standing instructions	R (paper) M (digital)	15 years - Destroy when no longer required	
3.8	Final accounts	R (paper) M (digital)	15 years - Destroy when no longer required	
3.9	Client Project Board minutes and papers a) record set b) all other copies	a) R (paper) M (digital) b) D5	a) 15 years - Destroy when no longer required b) Destroy 5 years after date of last paper	
3.10	Tender and evaluation board papers	R (paper) M (digital)	7 years after contract end	
3.11	Certificates (authorising payment)	R (paper) M (digital)	15 years - Destroy when no longer required	

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
3.11	Claim and arbitration files	R (paper) M (digital)	15 years after settlement	
3.12	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	Retain permanently	
3.13	Historical buildings (Also see Part of this schedule and detailed “CADW” schedule)	R (paper) M (digital)	15 years.	
Part 4	Health and Safety <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>			Management of Health and Safety at Work Act 1999 Control of Substances Hazardous to Health Regulations 2002

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Ref No	Description of Records		Disposal Action	Recommended Custody ¹	Comments & References
			A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
4.1	Control of Substances Hazardous to Health Regulations 1999 / 2002 Reg 7 (10) - special provision relating to biological agents	List of employees exposed to group 3 and 4 biological agents (see the Regulations)	R (paper) M (digital)	10 years after last exposure	The Control of Substances Hazardous to Health Regulations 1999 and 2002 (COSHH) (SIs 1999/437 and 2002/2677)
4.2	Control of Substances Hazardous to Health Regulations 1999 / 2002 Schedule 9 - special provision relating to biological agents	Where exposure may lead to a disease many years later	D	40 years after last exposure / date of last paper.	The Control of Substances Hazardous to Health Regulations 1999 and 2002 (COSHH) (SIs 1999/437 and 2002/2677)

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			A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
4.3	Control of Substances Hazardous to Health Regulations 1999 / 2002 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	The Control of Substances Hazardous to Health Regulations 1999 and 2002 (COSHH) (SIs 1999/437 and 2002/2677)
4.4	Control of Substances Hazardous to Health Regulations 1999 / 2002 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) D	a) Destroy 5 years after date of last paper b) 40 years after last exposure / date of last paper.	The Control of Substances Hazardous to Health Regulations 1999 and 2002 (COSHH) (SIs 1999/437 and 2002/2677)

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Ref No	Description of Records		Disposal Action	Recommended Custody ¹	Comments & References
			A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
4.5	Control of Substances Hazardous to Health Regulations (COSHH) 1999 / 2002 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.	D	40 years after last exposure / date of last paper	The Control of Substances Hazardous to Health Regulations 1999 and 2002 (COSHH) (SIs 1999/437 and 2002/2677)

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			A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
4.6	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
4.7	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	Reportable injuries, diseases and dangerous occurrences	D	15 years	

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Ref No	Description of Records		Disposal Action	Recommended Custody ¹	Comments & References
			A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
4.8	Social Security (Claims and Payments) Regulations 1979	Accident book (form BI 510)	D	5 years	
4.9	The Ionising Radiations Regulations 2000	a) health records b) examination of respiratory protective equipment	a) D b) D	a) 50 years from date of last entry b) 3 years	The Ionising Radiations Regulations 2000
4.10	The Ionising Radiations (Outside Workers) Regulations 1993	Radiation passbook	D	5 years	

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Ref No	Description of Records		Disposal Action	Recommended Custody ¹	Comments & References
			A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
4.11	Control of Lead at Work Regulations 2003	Maintenance of control measures	D	5 years	The Control of Lead at Work Regulations 2003 (SI 1998/543) as amended by the Control of Lead at Work Regulations 2002 (SI 2002/2676)
4.12	Control of Lead at Work Regulations 2003	Air monitoring	D	5 years	The Control of Lead at Work Regulations 2003 (SI 1998/543) as amended by the Control of Lead at Work Regulations 2002 (SI 2002/2676)
4.13	Control of Lead at Work Regulations 2003	Medical surveillance	D	40 years from date at which entry was made	The Control of Lead at Work Regulations 2003 (SI 1998/543) as amended by the Control of Lead at Work Regulations 2002 (SI 2002/2676)

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Ref No	Description of Records		Disposal Action	Recommended Custody ¹	Comments & References
			A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
4.14	Control of Asbestos at Work Regulations 2004	Health surveillance (including medical reports)	D	Destroy 40 years after last record or paper filed	The Control of Asbestos at Work Regulations 2004 (SI 2002/2675). Also see the Control of Asbestos Regulations 2006 (SI 2006/2739)
4.15	Work in Compressed Air Regulations 2004	a) health surveillance b) exposure	D	a) 40 years from date of last entry b) 40 years from date of last entry	
4.16	Special Waste Regulations 1996	Consignment note	D	3 years	
4.17	Environment Protection (Duty of Care) Regulations 1991	Consignment note (controlled waste)	D	2 years	
4.18	Nitrate Pollution Prevention (Wales) Regulations 2008	Monitoring	D	10 years	1991 EU Nitrates Directive.

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		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
4.19	Accident books, accident records / reports	D	3 years	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR) (SI 1995/3163) as amended. Special rules apply concerning incidents involving hazardous substances
4.20	Noise (Noise at Work Regulations (NI) (1990)	D	40 years from date when entry was made	
4.21	Staff pre-employment and health screening questionnaire	D	3 years after end of employment	Management of Health and Safety at Work Regulations 1999

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
4.22	Occupational health records where reason for termination of employment is connected with health (including stress related illness)	D	3 years after end of employment	Limitation period for personal injury claims (there may be circumstances where it is not practical to separate these records from other occupational health records).
Part 5	Contractual (non EU funding)			Legislation underpinning the retention of records relating to contracts is the Limitation Act 1980 (as amended by similar legislation in 1984 and 1987). Other relevant statutes include: Unfair Contract Terms Act 1977 Latent Damage Act 1986 Consumer Protection Act 1987
5.1	Contracts - worth less than £5,000	D	5 years	
5.2	Contracts - worth more than £5,000 relating to goods	D	10 years	
5.3	Contracts - relating to services	R (paper) M (digital)	2 years after payment of last account	

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5.4	Contracts – (major contracts) for periods of more than ten years	R (paper) M (digital)	15 years. May have preservation value	
Part 6	Project (excluding European programmes & projects and State Aid)			
6.1	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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6.2	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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Ref No	Description of Records	Disposal Action A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	Recommended Custody ¹	Comments & References
6.3	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.	

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
6.4	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	
6.5	Contracts and Agreements (also see Building Records – Deeds & SPAs) a) contracts under seal b) other contracts c) title deeds d) correspondence	a) A b) A c) A d) A	a-d) Retain permanently	Title deeds are not public records -retained for administrative purposes

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
6.6	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	
6.7	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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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
6.8	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)	
6.9	Financial documents (including investment appraisals) – Also see Finance records, accounting.	D	6 years after completion of the project	
6.10	Equipment and Supplies	D	6 years after completion of the project	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
6.11	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	
6.12	Human resources – see <i>Part Employee personnel records (human resources)</i>		Originals should be with Personnel Department	
6.13	Health and Safety Records – see <i>Part 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)	

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
6.14	Reports (stage assessments, quality reviews, highlight reports, GANTT charts, VSIO, etc) a) interim b) final c) evaluation d) draft	a) D b) R (paper) M (digital) c) R (paper) M (digital) d) D	a) 5 years after issue b) Keep for Second Review c) Keep for Second Review d) At the end of the project	
6.15	Product descriptions	D	5 years after completion of project	
6.16	Project operating manuals	D	5 years after completion of project	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
6.17	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	
Part 7	Complaints			The handling of some of this information is subject to the provisions of the Data Protection Act 1998.
7.1	Policy statements	R (paper) M (digital)	15 years (or when superseded)	
7.2	System handbook/guide	R (paper) M (digital)	15 years (or when superseded)	
7.3	Minutes of meetings of Complaints Committee, Service Standards Team, etc	D	Destroy 10 years	
7.4	Surveys	D	3 years	
7.5	Case records - Enquiries	D	3 years	
7.6	Case records - Investigations	D	10 years	
7.7	Case records - Statistical reports	D	5 years	
7.8	Case records - Reports on particular complaints or on categories of complaints	D	3 years	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
7.9	Case records - Precedents	R (paper) M (digital)	10 years	
7.10	Case records - Register of Complaints	D	10 years	
7.11	Reviews - Correspondence and papers	D	10 years	
7.12	Reviews - Reports	D	3 years	
Part 8	Press and Public Relations			
8.1	Dealing with the media and the public - Press releases	D	7 years	
8.2	Dealing with the media and the public - Press cuttings	D	1 month	
8.3	Dealing with the media and the public - Operational notes (notices to press about forthcoming events or conferences)	D	3 months	
8.4	Dealing with the media and the public - Press conference reports/previews	D	3 years	
8.5	Dealing with the media and the public - Press reports digests	D	7 years	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
8.6	Internal records - Correspondence with branches of the media	D	7 years	
8.7	Internal records - Policy and administrative records	R (paper) M (digital)	15 years	
8.8	Internal records - Handbooks and guides to media/public relations	R (paper) M (digital)	15 years (destroy when superseded)	
8.9	Internal records - Reports on media/public relations	D	7 years	
8.10	Image library records (non WAG copyright material should not be stored on WAG systems beyond the terms of the agreement)	D	When no longer required	
8.11	Special events - correspondence and papers	D	7 years	
8.12	Special events - reports	D	7 years	
8.13	Visitor books	D	3 years	
8.14	Calendars	D	3 years	
8.15	Brochures and guides	D	3 years	

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
Part 9	Freedom of Information			
9.1	Policy - Procedures for handling FOI requests and other documents regarding practical implementation of FOI <ul style="list-style-type: none"> • Retention and Disposal Policy • Documents on the organisation's FOI policy • Case Records which lead to the development of precedents and best practice 	R (paper) M (digital)	15 years May have archival or reference value. Consider for permanent preservation.	
9.2	Individual Transaction Records - Case file records detailing the FOI request, the consideration of possible exemptions and subsequent appeals	D	3 years after date of creation	
9.3	Access Status Records - Statistical data about the number of requests you answered and their outcomes etc	R (paper) M (digital)	15 years Publish data as part of publication scheme	

**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 ¹	Comments & References
9.4	Access Status Records - Details of what access decisions have been taken about your records especially any redacted versions of documents you have released	R (paper) M (digital)	15 years	

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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 ¹	Comments & References
9.5	Information subject to a FOI request but scheduled for destruction	D	6 Months from the date of the last correspondence on the matter	If the information contained within a record that is, as a result of retention and destruction policies, due to be destroyed within 20 days of receiving the request, you do not have to release the information. However, as a matter of good practice, it is worth considering delaying destruction until you have disclosed the information or, if not disclosed, until the complaint and appeal provisions of the FoIA are exhausted.

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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 ¹	Comments & References
				<p>If you cannot delay the destruction, under the duty to offer advice and assistance you should identify whether another authority holds the information and inform the applicant of this. Or, offer to provide similar or related information if this is appropriate. (The Information Commissioner's Office (ICO) Freedom of Information Act Awareness Guidance Number 8 Version 2, Updated 9 August 2006).</p>
9.6	Records of any financial transactions (see Part 2 of this schedule)			

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
Part 10	Information and Records Management			
10.1	Record keeping - Records relating to the control of record keeping systems	R (paper) M (digital)	15 years (When system is superseded)	
10.2	Record keeping - Documentation of record series ("zero files") a) series from which records have been transferred to TNA or place of deposit b) when all records in the series have been destroyed	a) A b) D	(a) Preserve permanently (b) After last record in series is destroyed	

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
10.3	Record keeping - Records relating to services provided to the rest of the Welsh Assembly Government	D	5 years	
10.4	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	
10.5	Documentation relating to the disclosure status of records under FOI	R (paper) M (digital)	15 years	
10.6	Information surveys, record audits and registry inspections	D	5 years	
10.7	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	
10.8	Internal publications	D	When superseded	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
10.9	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	
10.10	Donations of records to the department	R (paper) M (digital)	15 years or as long as record is held by the Welsh Assembly Government	
10.11	Freedom of Information requests (also see Part 9) 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	
10.12	Disposal - Disposal schedules	A	Retain permanently	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
10.13	Disposal - Correspondence and papers relating to the compilation of disposal schedules	D	10 years	
10.14	Disposal - Review lists, including information from systems such as DRUID	A	Preserve permanently	
10.15	Lists, certificates, docket books or databases of records destroyed	A	Preserve permanently	
10.16	Copies of catalogues/lists of records transferred to TNA or other place of deposit	D	5 years	
10.17	Retrieval of records from TNA or other place of deposit	D	2 years	
10.18	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	
10.19	Storage - Security of records	D	5 years	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
	Storage - Records of tracking and location systems as well as finding aids	D	When system is superseded	
10.20	Storage - Records relating to the use of on-site storage areas	D	10 years	
10.21	Storage - Records relating to the retrieval of records from off-site storage	D	2 years	
10.22	General management - Records relating to the development, implementation and review of information management policy	R (paper) M (digital)	15 years	
10.23	General management - Guides, manuals and instructions on the management of records	R (paper) M (digital)	15 years	
10.24	General administrative records, including routine correspondence relating to the provision of information management services.	see: Part - finance, Part - health and safety, and Part – projects.	see: Part - finance, Part - health and safety, and Part – projects.	

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
10.25	Risk Management - Risk register relating to the information management function.	D	7 years after next risk assessment	
10.25	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.	A		
10.26	Control - Records relating to administrative and operating arrangements for library services.	D	10 years	
10.27	Intellectual Property – Copyright - Records relating to ownership by the Assembly Government of Crown copyright.	A	Preserve permanently	
10.28	Intellectual Property – Copyright - Applications by the Assembly Government for permission to reproduce material held under copyright by other individuals/ organisations.	D	7 years	

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
10.29	Intellectual Property – Copyright - Copyright agreements.	D	7 years	
10.30	Legal opinions regarding major copyright issues.	A	Preserve permanently	
Part 11	Technology & Telecommunications			
11.1	Acquisition - Records relating to the acquisition of information and communications technology and systems, including planning, selection, specifications, systems documentation and purchase	R (paper) M (digital)	15 years (Retain for 5 years after 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 ¹	Comments & References
11.2	Acquisition - Software licenses and up-grade agreements	R (paper) M (digital)	Retain until software is upgraded or disposed of	
11.3	Application Development - Records documenting the development or modification of specific information and communications technology and systems, including testing documentation.	R (paper) M (digital)	Retain for 5 years after system is superseded	
11.4	Data control and management - Records relating to the maintenance of data integrity, including data logging records. (Also see Part 10)	R (paper) M (digital)	Retain for 2 years after last action	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
11.5	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 (paper) M (digital)	Retain for 7 years after last action	
11.6	Data – control and management - Records relating to the migration of information and communications systems and data from one platform to another.	R (paper) M (digital)	Retain for 1 generation after migration	
11.7	Evaluation - Records relating to evaluation of information and communications technology and systems.	R (paper) M (digital)	Retain for 5 years after last action	
11.8	Installation - Records relating to the installation and disposal of information and communications technology and systems.	R (paper) M (digital)	Retain for 5 years after disposal of system.	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
11.9	Maintenance - Records relating to the regular maintenance and repair of information and communications technology and systems.	R (paper) M (digital)	Retain for 2 years after last action.	
11.10	Operations - Operation manuals for information and communications technology hardware and software.	R (paper) M (digital)	Retain for the life of the system.	
11.11	Operations - Records relating to routine operation of information and communications technology, including administration of user access/ permissions.	R (paper) M (digital)	Retain for 2 years after last action.	
11.12	Operations - Records relating to the monitoring of internet users' serious breaches of access rights, including system logs.	R (paper) M (digital)	Retain for 7 years after last action.	
11.13	Operations - Records relating to the monitoring of internet users' minor breaches of access rights, including system logs.	R (paper) M (digital)	Retain for 1 year after last action.	
11.14	Planning - Records relating to the development of information and communications systems strategic plan.	R (paper) M (digital)	Retain for 3 years after last action.	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
11.15	Planning - Information and communications systems strategic plan.	R (paper) M (digital)	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 (paper) M (digital)	Retain for 5 years after superseded.	
11.17	Security - Records relating to security of information and communication technology and systems.	R (paper) M (digital)	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 (paper) M (digital)	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 (paper) M (digital)	Retain for 2 years after last action.	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
11.20	Feasibility Study Reports – Proof of Concept a) At approving authority b) At IT Program c) Disapproved Feasibility Study Reports (FSR) d) Data Collection Material	a) D b) D c) D d) D	a) 4 years after approved Post Implementation Evaluation Report b) 4 years after approved Post Implementation Evaluation Report c) 1 year after disapproval d) 4 months after approval / disapproval of FSR or following an audit	d) At all levels – data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR.

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Ref No	Description of Records	Disposal Action A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	Recommended Custody ¹	Comments & References
11.21	Requirements Analysis Documentation a) At IT Program b) Associated with disapproved FSRs c) Data Collection Material	a) D b) D c) D	a) 4 years after approved Post Implementation Evaluation or following an audit b) 1 year after disapproval of the FSR c) 4 months after approval / disapproval of RFP or following an audit	c) At all levels – data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR.

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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 ¹	Comments & References
11.22	Requests for Proposals (RFP) a) At approving authority (DOIT, TIRU & DGS) b) At IT Program c) Data Collection Material	a) D b) D c) D	a) 4 years after approved Post Implementation Evaluation Report b) 4 years after approved or when the system is no longer operational c) 4 months after approval / disapproval of RFP or following an audit	c) At all levels – data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR.

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
11.23	Requests for Information a) At IT Program b) Data Collection Material	a) D b) D	a) 4 years or after development of an RFP b) 4 months after approval / disapproval of RFP or following an audit	b) At all levels – data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR.
11.24	System Documentation a) At IT Program b) Data Collection Material	a) D b) D	a) 1 year after the system is no longer operational or following an audit b) 4 months after the system is no longer operational or following an audit	b) At all levels – data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR

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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 ¹	Comments & References
11.25	Testing Documentation a) At IT Program b) Data Collection Material	a) D b) D	a) 2 years after approved PIER or following an audit b) 4 months after approval / disapproval of PIER or following an audit	b) At all levels – data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR

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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 ¹	Comments & References
11.26	Program Source Code a) At IT Program b) Data Collection Material	a) D b) D	a) 2 years after the system is no longer operational or following an audit b) 3 months after the system is no longer operational or following an audit	b) At all levels – data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR

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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 ¹	Comments & References
11.27	Programmer Documentation a) At IT Program b) Data Collection Material	a) D	a) 1 year after the system is no longer operational b) 3 months after the system is no longer operational or when no longer needed	b) At all levels – data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR

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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 ¹	Comments & References
11.28	Program (user) Documentation and Training Materials a) At IT Program b) Data Collection Material	a) D b) D	a) 1 year after the system is no longer operational b) 3 months after the system is no longer operational or when no longer needed	b) At all levels – data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR

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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 ¹	Comments & References
11.29	Special Project Reports a) At approving authority b) At IT Program c) Data Collection Material	a) D b) D c) D	a) 4 years after approved Post Implementation Evaluation Report or following an audit b) 4 years after the system is no longer operational c) 3 months after the system is no longer operational or following an audit	c) At all levels – data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR

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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 ¹	Comments & References
11.30	Post Implementation Evaluation Reports a) At Approving Authority b) At IT program c) Data Collection Material	a) D b) D c) D	a) 2 years after is no longer operational or following an audit b) 2 years after the system is no longer operational or following an audit c) 3 months after the system is no longer operational or following an audit	c) At all levels – data collection material such as logs, time studies, interviews, questionnaires, computer printouts and records related to the development of an FSR

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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 ¹	Comments & References
11.31	Reference Manuals a) At IT Program	a) D	a) When revised, superseded, or rescinded	

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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 ¹	Comments & References
Part 12	<p>State Aid <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></p>			
12.1	State Aid grants, loans, tax exemptions	D	2025	
12.2	De Minimis Exemption General Block Exemptions and Aid for some Research and Development activity. (The de-minimis threshold is €200,000)	D	Retain all records until 31 December 2025	

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Ref No	Description of Records	Disposal Action A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	Recommended Custody ¹	Comments & References
Part 13	<p>European funded programmes and projects</p> <p><i>(Projects can be subject to audit at any time up to three years after Programme closure, i.e. when WEFO and EC have agreed financial closure - and it is therefore a requirement of the 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></p>			
13.1	European Regional Development Fund 2007-13	D	Retain all records until 31 December 2025 (this is the documentation retention date for the ERDF & ESF funding)	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
13.2	2007 – 2013 European funded programmes & projects Convergence covering West Wales and the Valleys Regional Competitiveness and Employment covering East Wales Territorial Co-operation, including the Ireland-Wales Cross-border programme	D	2025	
13.3	2000 – 2006 European funded programmes & projects	D	2018	
13.4	1994 – 1996 Industrial South Wales (ISW) 1997 – 1999 Industrial South Wales (ISW)	D	June 2012	
13.5	Common Agricultural Policy (CAP) - European Union agricultural subsidies and programs system	D	10 years	
13.6	European funding related policy documents	D	10 years	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
13.7	All EU-funded programmes prior to 2000 (with the exception of Industrial South Wales – ISW94-96 and ISW97-99)	D	With immediate effect	
Part 14	Employee personnel records (human resources)			
14.1	Individual personnel file	D	100 years from date of birth	Including written particulars of employment, contracts of employment, including certificates of qualifications or equivalent and including the Senior Civil Service; changes to terms and conditions, including change of hours letters, Official Secrets Act forms, Oath of Allegiance forms and the like

**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 ¹	Comments & References
	Individual personnel file continued			<p>Job history – consolidated history of whole career, location details. Records of location of overseas service.</p> <p>Records of previous service dates.</p> <p>Health declaration forms, health referrals – including doctors/consultants reports, correspondence/reports from OHS, Medical Advisory/Referee Service, and the like.</p> <p>Papers relating to any injury sustained while on duty.</p>

**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 ¹	Comments & References
	Individual personnel file continued			<p>Death-benefit nomination and revocation forms. Death in service. Death certificates - return original to the provider, retain copy. Decrees Absolute - return original to the provider, retain copy. Marriage certificate - return original to the provider, retain copy. Unpaid leave periods (maternity leave, career breaks and the like). Foster leave, parental leave, adoption leave. Paid & unpaid special leave, specialist allowances. Term time working.</p> <p>Complete sickness absence record showing dates/causes of sickness absence. <small>January 2011</small> Health referrals. Ill health retirement.</p>

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
				Ill health retirement. Resignation.
14.2	Supplementary personnel information	D	10 years	
14.3	Current address details	D	6 years after employment has ended	
14.4	Previous service support papers	D	After records noted, as appropriate	
14.5	Transfer documents	D	After records noted, as appropriate	

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
14.6	Dignity at work, disciplinary and grievance case records, including: Oral/verbal warning note Written warning, including notes of disciplinary hearings Documentation relating to grievance hearings (such as reports, notes etc).	D	1 year after the case is closed (subject to there not being any appeal still taking place).	Papers need to be held for the period of the investigation. Once the investigation is complete and a reasonable time is allowed for an appeal, e.g. 12 months, dispose of all papers other than a summary. Where the outcome has resulted in a change to the terms & conditions of service, salary, performance pay or allowances, the summary should be kept for 100 years. Where the result of an investigation of a grievance complaint does not result in a change to terms & conditions etc. of the complainant, the information contained within the summary should also be disposed after a relatively short period of time.
14.7	Public Appointments	D	3 years	
14.8	Health and Safety records	A	Preserve permanently	Assessments under Health and Safety Regulations and records of consultations with safety representatives and committees

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
14.9	Information regarding secondees appointments held line section (not HR)	D	10 years	
14.10	Appraisal reports / Performance management reviews	D	5 years	
	Underperformance issues	D	1 year	Until next PMR

**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 ¹	Comments & References
14.11	Pay & Pension	D	100 years from date of birth	<p>Personal payroll history, including record of pay, performance pay, overtime pay, allowances (such as Temporary Working Allowance), pay enhancements, other taxable allowances, payment for untaken leave, reduced pay, no pay, maternity leave.</p> <p>Pensions estimates / awards</p> <p>Re-employment following retirement.</p> <p>Re-hiring.</p> <p>Records of: full name, National Insurance Number, date of birth, pensionable pay at date of leaving, reckonable service for pension</p>

**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 ¹	Comments & References
	Pay & Pension continued			<p>purposes (and actual service, where this is different, together with the reason/s for the difference), reason for leaving and new employer's name (if known), amount and destination of any transfer value paid, amount of any refund if PCSPS contributions, amount and date of any Contributions Equivalent Premium paid. Gender change.</p> <p>Voluntary deduction. Withholding pay increment.</p> <p>All papers relating to superannuation not listed elsewhere in this schedule, including:</p>

**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 ¹	Comments & References
	Pay & Pension continued			<p>Application forms, papers about pension rights associated with other employment (including war service), papers about widows', widowers', children's pensions and other dependents pensions, correspondence with the Cabinet Office, other Departments and pensions administrator, or the officer and his/her representatives (MPs, MLAs, trade unions, and the like) about pensions matter.</p> <p>Papers relating to disciplinary action that has resulted in any change to terms and conditions of service, salary, performance pay or allowances</p>

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
				Change of status from casual/fixed-term to permanent appointment.
14.12	Retirement Benefits Schemes – records of notifiable events, for example relating to incapacity	D	6 years from the end of the scheme year in which the event took place	The Retirement Benefits Schemes (Information Powers) Regulations 1995 (SI 1995/3103)
14.13	Statutory Maternity Pay records, calculations, Certificates (Mat B1s) or other medical evidence	D	6 years	
14.14	Medical / self-certification certificates – unrelated to industrial injuries	D	4 years	
14.15	Wage / salary records (also overtime, bonuses, expenses) including promotion / temporary promotion / substitution documentation	D	6 years	Taxes Management Act 1970
14.16	Statutory Sick Pay – SSP1 and SSP1L	D	For last 4 to six years	

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
14.17	Over-payments documentation	D	6 years after repayment or write-off	
14.18	Advances of pay and loans	D	6 years after repayment	Advances of pay for season tickets, car parking, bicycles, Christmas and holidays, housing.
14.19	National Minimum Wage records	D	3 years after the end of the pay reference period following the one that the records cover	National Minimum Wage Act 1998/1833)
14.20	Bank details (current only)	D	6 years after end of service	
14.21	Bank / building society references	D	6 months	
14.22	Actuarial valuation reports	A	Preserve permanently	

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
14.23	Payroll input forms: reduced or no pay / maternity pay	D	6 years	
14.24	Bonus pay nominations	D	6 years	
14.25	Inland Revenue approvals	A	Preserve permanently	
14.26	Income tax and NI returns, income tax records and correspondence with the Inland Revenue	D	3 years after the end of the financial year to which they relate	The Income Tax (Employments) Regulations 1993 (SI 1993/744) as amended, for example by the Income Tax (Employments) (Amendment No. 6) Regulations 1996 (SI 1996/2631)
14.27	Money Purchase details	D	6 years after transfer or value taken	

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
14.28	Pension scheme investment policies	D	12 years from the ending of any benefit payable under the policy	
14.29	Pensioners' records	D	12 years after benefit ceases	
14.30	Redundancy details, calculations of payments and refunds	D	6 years from the date of redundancy	
14.31	Application forms and interview notes (for unsuccessful candidates)	D	1 year	
14.32	Recruitment / appointment / promotion board papers	D	One year from close of competition (in other words from the date the competition is no longer 'live').	
14.33	Qualifications / references	D	6 years	
14.34	Flexible Working Hours time sheets, annual leave records	D	2 years	

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
14.35	Variation of hours – calculation formula for the individual	D	Destroy after use.	
14.36	Working Time Directive opt-out forms	D	3 years after opt-out rescinded or has ceased to apply.	
14.37	Trade union agreements	D	10 years after ceasing to be effective	
14.38	Training records, disciplinary and working time records	D	6 years after employment ceases	
14.39	Welfare	D	6 years after last action	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
14.40	Personnel security records	D	5 years after leaving (if at normal retirement age) 10 years after leaving (if before normal retirement age); or 1 year after death	
14.41	Employment probation	D	5 years	
14.42	Salary sacrifice	D	2 years after allowance has ceased	Authorisation documentation.
14.43	Change of post/departmental move/managed move	D	After summary noted	Note made on Individual personnel file

**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 ¹	Comments & References
14.44	Bankruptcy and insolvency	D	After individual bankruptcy order ceases	
Part 15	Potential Historical Interest / Welsh Assembly Government Assets			
15.1	<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 (paper) M (digital)	15 years	

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
15.2	Contractual information (major contracts) see also 5.4	R (paper) M (digital)	15 years	
15.3	Deeds – see Part 3	A	Preserve permanently	
15.4	Historical Interest / Major issues (e.g. E.Coli, flooding, etc.)	R (paper) M (digital)	15 years	
15.5	Published Assembly Government information	R (paper) M (digital)	15 years	
15.6	Welsh Assembly Government decisions	R (paper) M (digital)	15 years	
15.7	Major Welsh Assembly Government committees (WAG Board papers, Strategic Delivery & Performance Board papers, Business Group, Operations Group, EAAC, Transport, Health etc)	R (paper) M (digital)	15 years	
15.8	Key planning information and surveys	R (paper) M (digital)	15 years	

**Welsh Assembly Government
Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
15.9	Ministerial Correspondence a) Of potential historical significance b) Routine correspondence	a) R (paper) M (digital) b) D	a) 15 years b) 5 Years	
15.10	c) Assembly Questions Briefings a) Routine b) Involving Ministerial Decisions Submissions	c) D a) D b) R (paper) M (digital) R (paper) M (digital)	c) 5 years a) 5 or 10 Years b) 15 Years 15 years	Routine Briefings should normally be disposed of after 5 years. In some cases where there is a business need to retain them longer they can be kept for 10 years.
15.11	Commissioned research papers	R (paper) M (digital)	15 years	
15.12	Freedom of Information	D	3 Years	

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
15.13	Welsh Language	A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	15 years	

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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 ¹	Comments & References
Part 16	<p>Databases, Websites and Intranet</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>Online retention period (in primary storage)</p> <p>Nearline retention period (time period the data needs to remain onsite but offline, in secondary storage devices)</p> <p>Total retention 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>	

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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 ¹	Comments & References
16.1	<p>Electronic Records and Document Management System (ERDMS)</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"> Business Governance Communications, Publications & Promotions Estate & Facilities Management Financial Management Government Business Human Resources Management Information & Systems Management Internal Audit Legal Advice Legislation Development <p>iShare Making the most of our information</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: right;">9 January 2011</p>

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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 ¹	Comments & References
Part 17	<p>Defunct Functions / Changes in Government Machinery</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&D.</p>			
17.1	Health Profession Wales (HPW) to WAG – Healthcare Inspectorate Wales (HIW)			Health Profession Wales (HPW) functions and associated staff transferred to HIW in Caerphilly on 1 April 2006, namely Quality Assurance and Local Supervisory Authority functions.

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
17.2	Assembly Parliamentary Services (APS)			Separated from WAG in May 2007
17.3	Wales Youth Agency			Transferred into the Assembly Government on 1 January 2006
17.4	DEFRA (Animal Health Agency)			Transferred out of the Assembly Government in October 2008
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).
17.7	Care and Social Services Inspectorate Wales (CSSIW) (into WAG)			1 April 2002
17.8	Children and Family Court and Advisory Support Service (CAFCASS) CYMRU (into WAG)			1 April 2005

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Ref No	Description of Records	Disposal Action A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	Recommended Custody ¹	Comments & References
17.9	Rent Office (into WAG)			1 April 2003
17.10	Welsh Development Agency (WDA)			Transferred 1 April 2006. In accordance with National Assembly for Wales Statutory Instrument 2005 No.3226 (W.238) all WDA records and databases were to be transferred to the Welsh Assembly Government Departmental Records Officer (DRO) to facilitate the transfer of functions to this body agreed by Order in Council on 22 November 2005 by the National Assembly for Wales.

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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 ¹	Comments & References
17.11	Wales Tourist Board (WTB)			Transferred 1 April 2006. In accordance with National Assembly for Wales Statutory Instrument 2005 No.3225 (W.237) all WTB records and databases were transferred to the Welsh Assembly Government Departmental Records Officer (DRO) to facilitate the transfer of functions to this body agreed by Order in Council on 22 November 2005 by the National Assembly for Wales.

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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 ¹	Comments & References
17.12	ELWa			Transferred 1 April 2006. In accordance with National Assembly for Wales Statutory Instrument 2005 No.3238 (W.243) all NCETW records and databases transferred to the Welsh Assembly Government Departmental Records Officer (DRO) to facilitate the transfer of functions to this body agreed by Order in Council on 22 November 2005 by the National Assembly for Wales.

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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 ¹	Comments & References
17.13	ACCAC			Transferred 1 April 2006. In accordance with National Assembly for Wales Statutory Instrument 2005 No.3239 (W.244) all ACCAC records and databases were transferred to the Welsh Assembly Government Departmental Records Officer (DRO) to facilitate the transfer of functions to this body agreed by Order in Council on 22 November 2005 by the National Assembly for Wales.

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Ref No	Description of Records	Disposal Action A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	Recommended Custody ¹	Comments & References
17.14	Tir Gofal Scheme (from Countryside Council for Wales to WAG)			<p>Transfer took place on 16 October 2006</p> <p>In accordance with National Assembly for Wales Statutory Instrument 2006 No 1717 (W.179) all Tir Gofal records and databases were transferred to the Welsh Assembly Government Departmental Records Officer (DRO) to facilitate the transfer of functions to this body agreed by Order in Council on 28 June 2006 by the National Assembly for Wales.</p>

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Ref No	Description of Records	Disposal Action A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	Recommended Custody ¹	Comments & References
17.15	DYSG			In accordance with the Public Records Act 1958 S.3 (6), all DYSG records and databases were transferred to Welsh Assembly Government Departmental Records Officer (DRO) as an alternative to destruction on 1 May 2006.
17.16	Wales Screen Commission			Created 2002. Part of WAG Creative Industries Support Service (Creative Business Wales) managed by Finance Wales on behalf of WAG. Finance Wales formed by WAG in 2001 as limited company to invest in Welsh businesses and economy.
17.17	Marine Fisheries Agency			Transfer of function into WAG on 1 April 2010.

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
17.18	Local Government Data Unit			Transfer into WAG on 1 April 2010.
17.19	Health Commission Wales (HCW)			HCW transferred into NAW on 1 April 2003 and transferred from WAG on 31 March 2010. HCW function now carried out by Welsh Health Specialised Services Team (WHSST).
17.20	North Wales Sea Fisheries Committee (NWSFC)			Transfer into WAG on 1 April 2010
17.21	South Wales Sea Fisheries Committee (SWSFC)			Transfer into WAG on 1 April 2010
17.22	Foods Standard Agency (Wales) (FSA)			Transfer into WAG on 1 October 2010
17.23	Health Inspectorate Wales			
17.24	Sustainable Development Commission (CDC) Wales (Defra)			Abolished 31 March 2011

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Ref No	Description of Records	Disposal Action A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	Recommended Custody ¹	Comments & References
Part 18	Special Interest Grouping: Care and Social Services Inspectorate Wales (CSSIW)			

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
18.1	Registration files – applicants a) Applications Forms b) CRBs c) Letters received d) Letters sent e) Signed Interview Notes f) Inspectors Signed registration report which MUST confirm the position in relation to all fitness checks undertaken g) Original Statement of Purpose h) File Checklist i) Signed NOP j) Signed NOD k) Signed certificate/s l) Notice of Changes (e.g. 40/28/19/29 (1) 43(1)) m) Variation Requests n) Plans	a to n): D	a to n): 7 years	All registration files retained until setting closes. b) Disclosure number/date/details as to whether check was clear or not. d) Only letters which make reference to specific issues need to be retained – standard letters can be shredded. g) All updated SOP should be retained. The most up to date kept with the latest NOP/NOD & Certificate in a poly pocket in the left hand side of the file. n) Plans only need to be kept if the application has been refused.

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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 ¹	Comments & References
18.2	<p>Registration files – Setting Manger</p> <ul style="list-style-type: none"> a) Applications Forms b) Letters received c) Letters sent d) Signed Interview Notes e) Inspectors Signed registration report which MUST confirm the position in relation to all fitness checks undertaken f) Statement of Purpose g) File Checklist h) Signed NOP i) Signed NOD j) Signed certificate/s 	a to j): D	a to j): 7 years	<p>All registration files retained until setting closes.</p> <p>c) Only letters which make reference to specific issues need to be retained – standard letters can be shredded.</p>

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
18.3	Registration files – under 8's a) Application Forms b) CRBs c) Letters received d) Letters sent e) Signed Interview Notes f) Inspectors Signed registration report which MUST confirm the position in relation to all fitness checks undertaken g) Original Statement of Purpose h) File Checklist i) Signed certificate/s	a to i): D	a to i): 7 years Childminder records 3 years	All registration files retained until setting closes. b) Disclosure number/date/details as to whether check was clear or not. d) Only letters which make reference to specific issues need to be retained – standard letters can be shredded g) All updated SOP should be retained. The most up to date kept with the latest NOP/NOD & Certificate in a poly pocket in the left hand side of the file.

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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 ¹	Comments & References
18.4	<p>Inspection files</p> <ul style="list-style-type: none"> a) SAF b) Inspection Record c) Needs Analysis (where appropriate) d) Inspection Plan e) Inspection Report f) Questionnaires / plus supporting evidence g) Post inspection feedback form 	a to g): D	<p>a to f): 3 years from file closure.</p> <p>g) as soon as possible following analysis.</p>	f) These should be shredded following analysis. Any information of concern on questionnaires should be extracted and used as a referral for any required action as previously advised by LS.
18.5	<p>Protection files – complaints</p> <ul style="list-style-type: none"> a) Standard Letters b) Issue specific letters c) Statements/notes/supporting evidence d) Report Record e) Report f) Complaint Log g) Questionnaires 	a to g): D	<p>b, d, e): 3 years from file closure.</p> <p>a, c, f, g): 28 days following publication of report</p>	a, c, f, g) Should be destroyed 28 days following publication of report, unless representation has been made, the complainant remains dissatisfied and/or has chosen to use the Assembly's complaints procedure. In such cases records should be retained until the matter is resolved.

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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 ¹	Comments & References
18.6	<p>Protection files – POVA (Protection of Vulnerable adults) / POCA (Protection of Children Act)</p> <ul style="list-style-type: none"> a) VA1 b) VA2 c) Adult Protection Notifications d) Statements/notes/ e) supporting evidence f) Standard Letters g) Issue Specific letters h) Report of investigation 	a to h): D	3 years from file closure.	a, b, c, e, f) Should be destroyed when report of findings has been provided to chair of POVA/POCA or when any resulting regulatory action by CSSIW is completed.

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Retention and Disposal Schedule**

Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
18.7	Enforcement – legal requirements a) Regulation 38/29/26/19/43 Notices * b) Compliance Notices c) Letters relating to compliance issues d) Transcriptions of PACE interviews e) Reference to keeper/arrangements for storage of original tapes f) All legal advice received including copies of emails	a to f): D	a to f): 3 years from file closure.	a) Same principle as questionnaires i.e. information extracted & destroy once analysed.
18.8	Action by other bodies a) Letters from Environmental Health b) Letters from Fire Service c) Letters from Health and Safety Executive	a to c): D	a to c): 3 years from file closure.	Any action resulting from these contacts would have been actioned/ not actioned/ noted for next inspection on receipt of information

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Ref No	Description of Records	Disposal Action A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	Recommended Custody ¹	Comments & References
18.9	Incomplete applications	Should not be accepted and must be returned		The inspector should ensure that all reasonable efforts have been made to request/obtain the missing information. If the information cannot be obtained, a Notice of Proposal should be issued to refuse/grant registration clearly stating the reason/s and rationale for this decision. This allows the applicant to challenge the proposal and provide the missing information should they wish to do so. This course of action is in the interest of natural justice and ensures CSSIW complies with 'due process'

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Ref No	Description of Records	Disposal Action A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	Recommended Custody ¹	Comments & References
				A proposal to refuse does not necessarily lead to a decision to refuse and this action effectively enables the matter to have a fair and proper outcome
18.10	<p>Regulated services</p> <p>All Adult Settings/Agencies</p> <p>a) Registration b) Inspection c) Action by other bodies d) complaints e) Enforcement</p>	a to e): D	<p>a) 7 years from de-registration of setting/agency</p> <p>b to e): 3 years from file closure</p>	

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19.1	Accreditation documents; records of inspections	D	10 years	
19.2	Healthcare Establishment files (i.e. general files on inspected institutions including LHBs, independent healthcare settings, GP surgeries etc. plus other organisations with whom HIW has an association)	D	10 years	
19.3	LSA - Supervisors' records relating to the statutory supervision of midwives NB All records relating to statutory supervision of midwives must be kept separately from employment records	D	7 years	Nursing and Midwifery Council (NMC) Midwives rules and standards 2004
19.4	LSA - Any supervisory records relating to investigations of clinical incident, alleged misconduct or incompetence relating to a midwife	D	25 years	Nursing and Midwifery Council (NMC) Midwives rules and standards 2004
19.5	LSA - Any formal supervised practice programme and the outcome details	D	25 years	Nursing and Midwifery Council (NMC) Midwives rules and standards 2004

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		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
19.6	All specific documentation relating to Mental Health Act activities	D	Up to 10 years	All specific documentation relating to Mental Health Act activities, such as visits, second opinions and Section 57 Panels should be kept for 8 years after the date of the last document or visit, apart from information relating to complaints about service user care under the Mental Health Act, which should be kept for 10 years from the date of the last document.
19.7	Quality assurance of Nursing and Midwifery Education	D	5 years	
19.8	Controlled Drugs a) Destruction records (pharmacy and ward based) b) Controlled drugs (TTOs/OP) c) Controlled drugs order books, ward orders and requisitions	a) D b) D c) D	2 years 2 years 2 years	

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
19.9	Operations	D	10 years	
19.10	Investigation	D	10 years	
19.11	Registration	D	7 years	
19.12	Review Service for Mental Health	D	25 years	

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19.13	Inspection Tender and Contract information for inspections, post-inspections and other inspections a) Contracts (Non-EU): Contracts less than £5,000 b) Contracts more than £5,000 c) Contracts relating to services d) Major contracts for more than 10 years	a) D b) D c) R (paper) M (digital) d) R (paper) M (digital)	a) 5 years b) 10 years c) 2 years d) 15 years	
19.14	Contractors' files	D	3 years	

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
19.15	Complaints a) Complaints cases b) If complaint sets a precedent	a) D b) R (paper) M (digital)	a) 10 years b) 15 years	
19.16	Peer Assessor files	D	3 years	
Part 20	Special Interest Grouping: Heritage and Ancient Monuments			
20.1	Acquisitions	A	Preserve permanently	
20.2	Ancient Monuments Board for Wales a) Meeting Minutes and Papers / Reports b) Routine Papers	a) A b) D	a) Preserve permanently b) 7 years	
	Buildings at Risk	A	Preserve permanently	

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Ref No	Description of Records	Disposal Action A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	Recommended Custody ¹	Comments & References
20.3	Cadw a) Executive Agency b) Committees c) Constitution	a) R (paper) M (digital) b) R (paper) M (digital) c) R (paper) M (digital)	a) 15 years b) 15 years c) 15 years	
20.4	Conservation Issues	A		
20.5	Co-operative Ventures	R (paper) M (digital)	15 years	
20.6	Development Projects	R (paper) M (digital)	15 years	
20.7	Finds and Antiques – Storage and Ownership	R (paper) M (digital)	15 years	
20.8	Grants - Applications c) Successful	a) A	a) Preserve permanently	

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Ref No	Description of Records	Disposal Action A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate	Recommended Custody ¹	Comments & References
	d) Unsuccessful	b) D	b) 3 years	
20.9	Heritage Lottery Funded Projects	R (paper) M (digital)	15 years	
20.10	Historic Building Cases	A	Preserve permanently	
20.11	Historic Houses and Buildings	R (paper) M (digital)	15 years	
20.12	Liaison with Other Bodies	R (paper) M (digital)	15 years	
20.13	Licences – Applications a) Successful b) Unsuccessful	a) R (paper) M (digital) b) D	a) 15 years b) 3 years	
20.14	Listed Buildings a) Amendments to Grades b) Consent	a) A b) A	a-c) Preserve permanently	

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
	c) De-Listing d) Policy e) Requests for Listing / De-Listing f) Spot Listings i) Successful ii) Unsuccessful g) Resurveys	c) A d) R (paper) M (digital) e) R (paper) M (digital) f) i) A ii) D g) A	15 years 15 years i) Preserve permanently ii) 3 years	
20.15	Monuments a) Admissions to b) Educational Use	a) D b) R (paper)	5 years	

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
	c) Events Held At	M (digital)	15 years	
	d) Guardianship	c) R (paper) M (digital)	15 years	
	e) Maintenance Programme	d) R (paper) M (digital)	15 years	
	g) Scheduling Policy	e) R (paper) M (digital)	15 years	
	h) Inspectorate	f) R (paper) M (digital)	15 years	
20.16	Parks and Gardens	h) R (paper) M (digital)	15 years	
20.17	Properties in Care of Cadw	R (paper)	15 years	

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		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
		M (digital)		
20.18	Royal Commission on the Ancient and Historical Monuments of Wales (RCAHMW) – liaison and dealings with	R (paper) M (digital)	15 years	
20.19	Sites of Special Scientific Interest (SSSIs)	R (paper) M (digital)	15 years	
20.20	Tourist Organisations	D	5 years	
20.21	Town Schemes and Town Scheme Partnerships (TSP)	R (paper) M (digital)	15 years	
20.22	Underwater Archaeology a) Policy b) Reports	a) R (paper) M (digital) b) A	15 years b) Preserve permanently	
20.23	Wrecks a) Protection	a) A	a) Preserve permanently	

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
	b) Receiver of Wrecks c) Recording of Wrecks and Maritime Sites	b) R (paper) M (digital) c) A	15 years c) Preserve permanently	
Part 21	Special Interest Grouping: Transport <i>(This section is used for non-standard work related to transport land transactions, structures (e.g. bridges) and road schemes).</i>			
21.1	Land acquisition a) Casework b) Deeds, Shortened Procedure Agreements, and associated documents	a) R (paper) b) A	a) 15 years b) Preserve permanently	a) File prefixes ZB and BZ sub-theme 421 b) Deeds of title must be retained permanently or until property disposed of. Copy of title deeds

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
	c) Land reference plans and schedules d) Prime document files e) Allocation f) Procurement/disposal	c) A d) A e) D f) D	c) Preserve permanently d) Preserve permanently e) When land is released for other purposes f) 12 years after date of disposal	should be kept for 6 years after disposal of the property. d) File prefix BZ sub-theme 422
21.2	Noise Insulation Regulations	a) R (paper)	a) 15 years	
21.3	Planning Applications	A	Preserve Permanently	

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
21.4	Approvals - Street lighting equipment	R (paper)	15 years	
21.5	Legislation - a) Empowering ministers to impose prohibitions and/or restrictions on trunk roads b) Empowering ministers to extend local authority traffic orders	a) R (paper) b) R (paper)	a) 15 years b) 15 years	
21.6	Recovery of rent arrears	R (paper)	15 Years	
21.7	Statutory Instruments	A	Preserve permanently	
21.8	Compulsory Purchase Orders (CPOs)	A	Preserve permanently	
21.9	Clearance Orders	A	Preserve permanently	
21.10	De-trunking Orders	A	Preserve permanently	

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
21.11	Legal documents	A	Preserve permanently	
21.12	Structures - Engineering records	A	Preserve permanently	
21.13	Highway safety	D	15 years	Including lighting, communications, control and electrical equipment.
21.14	Emergency telephones	D	30 years	On highways.
21.15	Licensing agreements	D	30 years	
21.16	Engineering records	D	30 years	
Part 22	Special Interest Grouping: Children and Family Court Advisory and Support Service Wales (CAFCASS Cymru)			
22.1	Casework	D	35 years from date of birth of the youngest child involved in a	For casework records created pre-April 2005 (transfer date to WAG): 1 April 2005 will be used as the

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
			particular case.	date of birth, which will be the trigger date from which the 35 years will be calculated.
Part 23	Special Interest Grouping: Sea Fisheries Committees			
23.1	Committee reports	A	Preserve permanently	
23.2	Committee (and Sub-committee) minutes	A	Preserve permanently	
23.3	Bye-laws (up to March 2010)	A	Preserve permanently	The original signed byelaws themselves, rather than the byelaw files
23.4	Information relating to significant historic events (such as oil spills etc)	A	Preserve permanently	
23.5	Chairman signed reports	A	Preserve permanently	
23.6	Local government reviews	A	Preserve permanently	
23.7	Sea Impress oil spill material	A	Preserve	

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Ref No	Description of Records	Disposal Action	Recommended Custody ¹	Comments & References
		A – Archive or Permanent D – Destroy R – Review (paper only) T – Transfer M – Migrate		
			permanently	
23.8	Species files	A	Preserve permanently	
23.9	Dredging files	A	Preserve permanently	
23.10	Sites of Special Scientific Interest (SSSIs)	A	Preserve permanently	
23.11	Pembrokeshire Forum	A	Preserve permanently	
23.12	Wind farms / tidal power	A	Preserve permanently	
23.13	Cockles	A	Preserve permanently	Material relating to changes in dredging techniques, imposition of restrictions etc
23.15	Fishing	A	Preserve permanently	Records relating to the imposition of quotas, particular notice of reports of reactions of the fishing community; conservation of fish stocks and the environment.

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24.1	Genetically Modified Organisms (GMOs) –	A	Preserve permanently	<p>Seeds (National Lists of Varieties) Regulations 2000 and Genetically Modified Crops.</p> <p>Records which provide invaluable information on the history of GM policy developments in Wales and refer to Ministerial decisions which have influenced the current government position on GM technology should be retained for permanent preservation.</p>
25.1	Ministerial Diaries	A	Preserve permanently	