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## Document and Records Management Policy

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## Document and Records Policy

- 1 Keeping records is an essential component of efficient project management. Audit Wales also has a statutory duty under the Public Records Act 1958 to retain records that are worthy of permanent preservation. Selection of records for permanent preservation is determined and agreed between the National Archives (TNA) and the Audit Wales Departmental Records Officer (DRO).
- 2 This document explains the Audit Wales policy on records management and retention. It covers all business-related information in all media, including both paper and electronic documents, social media, websites, and video. There is a separate Operational Selection Policy (OSP), which sets out the arrangements for selection of records for historical preservation, to be used as a tool by the DRO and those undertaking selection reviews.
- 3 All staff<sup>1</sup> have a responsibility to ensure that they maintain records, which includes protecting records from unauthorised access and preserving their integrity, accessibility and confidentiality. Responsibilities are set out in Appendix 1.

## Certain documents and records must be retained as evidence of our work

- 4 Documents and records which provide evidence of the work of the Auditor General or Audit Wales must be maintained during the course of that work and after that work is completed. This is essential to demonstrating propriety. Not only must we perform our functions properly, we must also be able to demonstrate this with our records. When work is in progress, documents must be stored in shared filing systems<sup>2</sup> so that information is available to others and afforded appropriate protection. Examples of documents which must be retained include:
  - email and other written correspondence which provides evidence of decisions made and the reasons for those decisions;
  - working papers, project documentation, draft and final versions of reports or products;
  - policies and procedures;
  - minutes of meetings and management reports;
  - databases (eg publishing database); and

<sup>1</sup> In this policy, the term 'staff' includes temporary workers and contractors

<sup>2</sup> The main shared filing systems at the time of writing are: SharePoint and MKInsight, with historic shared network areas migrating and TeamMate files held only for review purposes.

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- contracts, legal and other operational/corporate records.

5 A complete list of types of documents to be retained is included in the Audit Wales Document Retention Schedule in **Appendix 2**.

### **Paper records**

6 Not all documents are kept electronically. Hard copies of letters, copies of plans etc, may be stored in paper files. All paper files should contain an index setting out the content of the file and, where appropriate, include reference to relevant electronic files. Staff holding paper files must ensure that those files, or groups of files, are registered in the information asset register maintained by the DRO. (The asset register will also register electronic files, but this will be done centrally from the server.)

### **Paper and electronic documents will be archived**

7 When projects are closed, electronic records within SharePoint and MKInsight must be moved to a dedicated archive area and marked 'read only' by the information asset owner. Final copies of reports will be held by Publishing. Paper-based records should be handed to Business Services for archiving.

## **Documents will be retained according to our retention schedules and disposed of promptly when no longer needed**

- 8 All records are subject to retention schedules specifying the period for which they will be retained. **Appendix 2** sets out the Audit Wales retention schedule, based on model schedules issued by TNA and legislative requirements. When the agreed retention period expires, staff must review archived paper files and associated electronic files prior to disposal taking place, in particular, when requested to do so by the DRO. The DRO will transfer documents to TNA for permanent preservation, or otherwise arrange to dispose of them, working with asset owners. In the event of repeated non-response to a request for review, the DRO will refer issues to the appropriate Director as a disciplinary matter.
- 9 Responsibility for the disposal of non-registered documents (those which are not included in shared filing systems) rests with the user. All project files and working documents should be stored on shared drives or filing systems. E-mails which form part of project evidence or decisions should be saved in the appropriate shared filing system.
- 10 Documents that are not stored in a shared filing system i.e, master hard copy documents, such as deeds, must be retained in a suitably secure place. They, or

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the files containing them, should be registered in the central asset register. Electronic master documents should be stored in a shared network area or database.

## Records of historical value will be permanently preserved

- 11 Audit Wales meets its obligation to identify and safeguard records worthy of permanent preservation for historical reasons, by:
  - operating a system of review to identify records of historical value;
  - preserving the record as a physical entity;
  - preserving the content, context and structure; and
  - ensuring continuing access to the record for as long as the record is required.
- 12 All records, in whatever medium, are subject to the Public Records Act 1958, and The National Archives' (TNA) reviewers will be given access to all records for the purposes of establishing their historical value. The separate OSP will be used as a guide for selection purposes between the DRO, TNA and reviewers.

## We will take all reasonable steps to make information secure

- 13 In line with the Audit Wales Information Security Policy and the obligations under the Public Records Acts, Audit Wales takes all reasonable steps to ensure that records are secure from accidental or wilful damage, destruction or misuse. Staff must protect documents and records against unauthorised disclosure.
- 14 In making records available outside Audit Wales, Audit Wales will comply with the Data Protection Act 2018, Freedom of Information Act 2000 and Environmental Information Regulations 2004. An overview of the legislation is in **Appendix 3**.
- 15 If original records are lost, severely damaged or destroyed, replicated records may be used in their place, but replicas must be labelled as such. Records should be desensitised where reasonable and possible to protect data subjects.

## Records must be auditable

- 16 Records of our work must provide a sufficient audit trail and maintain integrity, accessibility and confidentiality of information. This means that records must be created around the time when the action/project occurred, dated accordingly, and named appropriately with version control. The name of the principal author should be stated, and there should be sufficient metadata to locate the information quickly (which, among other things, is important for compliance with the Freedom of Information Act).

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- 17 Some electronic systems provide naming conventions and metadata e.g. 'tags' to ensure that documents are easily located. Where this is not in place, staff must take care to ensure that anyone with a legitimate need to access a file or document would be able to locate it. If folders are used within shared systems, the names of the folders should make clear what the contents of the folders are.

## Appendix 1 – Records Management roles and responsibilities

The **Departmental Records Officer (DRO)** is responsible for this policy, and records management procedures in general. Any queries about this policy should be addressed to [REDACTED]@audit.wales.

The DRO must:

- produce procedures and monitor the implementation of this policy;
- review and amend the policy periodically to ensure system changes and the policy of the National Archives are considered, and requirements relating to information legislation are incorporated;
- communicate the records management policy and procedures by appropriate means;
- arrange appropriate record management training and awareness for WAO staff;
- hold staff across the WAO to account for the delivery of good document and record management;
- deliver record management services under the policy, including development of systems and selection of records to be preserved that are of historical value;
- review records management, highlight where non-compliance with the policy is occurring and, where appropriate, suggest changes to controls and related procedures; and
- develop and execute a plan to develop the relationship between paper and electronic records and establish a coherent record keeping system for them.

**Engagement Leads and Heads of Corporate Services Functions** are **‘Information Asset Owners’**. As such, they have personal responsibility for the maintenance, integrity, accessibility and protection of the information they hold in relation to their work. They must ensure that their teams comply with legislative and proper business requirements.

**Project Managers, Directors of Corporate Functions and Line Managers** will:

- ensure that staff induction includes familiarisation with information management and record-keeping procedures;
- ensure the document and records management policy is followed, including ensuring that documents are reviewed before archiving or disposal; and
- when instructed, undertake a review of records.

**All staff** will ensure that records are:

- created that are sufficient for the proper operation of the business and evidence of proper operation;
- appropriately maintained and stored; and
- archived at the appropriate time.

## Appendix 2 – Document and Retention Schedule Index

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Retention Schedule Index	
Record Area (use the link to jump to the section)	In this section you will find guidance and retention periods for these areas
<a href="#">Policy and Governance</a>	Auditor General and Audit Wales Policy Auditor General and Audit Wales Procedures National Policy and Legislation Strategy and annual plans Registers e.g. risk, gifts and hospitality, correspondence Independence issues Terms of Reference Internal administration – senior leadership Meetings administration National Assembly for Wales' Audit Committee/PAC
<a href="#">Audit and Operational</a>  (see also internal administration and audit and stakeholder correspondence)	Code of Audit and Inspection Practice Financial and Performance Audit Delivery Manuals Financial Audit Performance Audit Good Practice Exchange Grants
<a href="#">Audit and stakeholder Correspondence</a>	Ad hoc and client correspondence Public Audit Forum (PAF) Significant issues materials Formal consultations and Responses to consultation Complaints Reports correspondence Whistleblowing hotline
<a href="#">Internal Administration</a>	Internal Audit Legal Guides and manuals Databases General administration Internal communication Tools and resources Technical Insurance records Horizon scanning and data analysis Resource allocation Policy and procedures (function level) Disaster planning Equality and inclusion Welsh Language

## Appendix 2 – Document and Retention Schedule Index

Retention Schedule Index	
Record Area (use the link to jump to the section)	In this section you will find guidance and retention periods for these areas
<a href="#">Accounting Records</a>	Bank account records Expenditure Records General Ledger records Receipts, revenue and other accounting records Salaries and related records Registers and statements Financial reporting Other accounting financial records Financial authority and delegations Matters of fraud/debt
<a href="#">Personnel Records</a>	Employment and Career Health Pay and Pension Welfare papers and other employment related
<a href="#">Press Media and Public Relations</a>	Stakeholder engagement Press release and leaflets Published reports WAO Website Press cuttings Media correspondence Special events
<a href="#">Contracts and Tendering</a>	Corporate projects Tendering Suppliers Signed contracts Correspondence, administration and monitoring Land and Building Contracts
<a href="#">Facilities Health and Safety Environment</a>	Specifications, design plans and drawings Construction, engineering, and condition surveys Maintenance, utilities and planning Equipment and Supplies Environmental H&S inspections and reports Exposure to hazardous substances at work Accidents and Prevention Risk assessment
<a href="#">Information Management</a>	Information access legislation related material Record keeping and Disposal Information security and assurance

## Appendix 2 – Retention schedule Index

<b>Policy and Governance</b>		
Auditor General and Audit Wales Policy	Administrative files involving AW policy issues	Retain for second review (15 years)
Auditor General and Audit Wales Procedures	Administrative files <u>not</u> involving policy issues, internal briefings	Destroy after 6 years
National Policy and Legislation	AW involvement in development of policy or legislation and advice to ministers and/or where significant impact on AW	Retain for transfer (15 years)
Strategy and annual plans	Operational plans, strategy	Retain for second review (15 years) – Published copies to National Library for Wales
Registers	Operational and strategic risk registers; Gifts and hospitality; Complaints (retain publishing register)	Retain for 6 years after superseded
Independence issues	Conflicts of interest register, independence returns	Retain for 6 years after superseded
Terms of Reference	Board, Directors Committees, Audit Committee	Retain for second review (15 years)
	All other Committees and working groups	Destroy after 6 years
Internal administration	<b>AGW, Board, Directors</b> (NED expenses and membership papers retain in Private Office)	Destroy when no longer required (and by 6 years)
	Invitation and regrets - AGW, Board, Directors	Destroy by 3 years
Meetings	<b>Board, Management Committee, Financial and Performance Committees-</b> Meeting agendas, minutes, supporting papers	Retain for second review (15 years)
	<b>Other Committees and working groups</b> Meeting agendas, minutes, supporting papers	Destroy after 6 years
National Assembly for Wales' Audit Committee/PAC	Major reports on Auditor General or AW performance; Annual report and accounts; Estimate; Public Interest Reports	Retain for second review (15 years) – PAC is not a public record body and AW may be required to submit to TNA
	Audit Committee/PAC Papers, including briefings to the Chair and Committee (retain copies in Auditor General's office)	Retain for second review (15 years) – PAC is not a public record body and AW may be required to submit to TNA

## Appendix 3 – Document and Retention Schedule

Audit and Operational		
Code of Audit and Inspection Practice	Final Code and consultation	Retain for second review (15 years) – <a href="#">Published Code to National Library for Wales</a>
	Auditor General Guidance	Retain for second review (15 years)
	Working papers and drafts of Code and Guidance; compliance with the Code (QCR)	Destroy after 6 years
Financial and Performance Audit Delivery Manuals	Audit and inspection method and manual	Retain for second review (15 years)
	Draft audit manuals and development files	Destroy after 6 years
Financial Audit	Working papers, journals, certificates, audit letters, plans, final accounts and opinion (Unqualified and all local government)	Destroy 6 years after year of account
	Final accounts and opinion with covering letter ( <a href="#">Qualified opinion – review with DRO whether to retain for second review</a> )	Retain for 6 years; retain for second review if required (15 years)
	Quality assurance (QA) reviews (internal and external)	Destroy after 6 years
	Allocation and delegation letters	Destroy 6 years after end of appointment
Performance Audit	High level forward programme, scoping final copies – <a href="#">consider whether annual plan is adequate for purpose, if so destroy after 6 years</a>	Retain for second review (15 years)
	Project management, plans, issue analysis, client liaison, interview notes, minutes, quality assurance reviews (internal and external)	Retain for 6 years after publication, then destroy
	<u>National studies, Health and Social Care, Environment</u> Evidence including e.g. surveys, focus groups, issues and data analysis and conclusions, case study, interview notes, outline findings, draft reports, ( <a href="#">Review with DRO whether to retain for second review</a> )	Retain for 6 years after publication; retain for second review if required (15 years)
	<u>Local Government</u> Evidence including e.g. surveys, focus groups, issues and data analysis and conclusions, case study, interview notes, outline findings, draft reports	Retain for 6 years after publication, then destroy
Good Practice Exchange	Documents, events, working papers, plans, podcast copy, webinar, etc	Destroy after 6 years

## Appendix 3 – Document and Retention Schedule

Audit and Operational		
	Webpages, final reports	Retain 15 years then destroy - <a href="#">Copy to National Library for Wales</a>
Grants	EU grants – certification files, working papers, invoices, claims, qualifications, correspondence	Retain 15 years then destroy (or earlier if directed)
	All other grants – certification files, working papers, invoices, claims, qualifications, correspondence	Retain 10 years then destroy (or earlier if directed)
	Expenditure records	Destroy after 6 years

Audit and Stakeholder Correspondence		
Ad hoc correspondence	Periodic reports, presentations, substantive correspondence, letters to/from MPs and public (non-policy/legislation related)	Destroy after 6 years
Public Audit Forum (PAF)	Files and papers	Destroy after 6 years
Client correspondence	Submissions, meeting minutes, files to support decisions	Review after 6 years
Significant issues materials	Objections at audit, declarations, advisory notices and other significant issues material	Retain for second review (15 years)
Formal consultations	Consultation and working papers (if not significant matter, can destroy after 6 years)	Retain for second review (15 years) if significant matter
Responses to consultation	Responses to consultation resulting in changes to strategy or policy	If major consultation with significant response retain for second review (15 years); otherwise destroy after 6 years
Complaints	Correspondence, response, actions, minutes, investigations and precedents, register of complaints	Destroy after 6 years
Reports correspondence	Audit Reports and Public interest reports – and correspondence (final reports held in Publishing database)	Retain for second review (15 years) – <a href="#">Copy of reports to National Library for Wales</a>
Whistleblowing hotline	Register and notes, correspondence, and related material	Destroy 6 years after investigation

## Appendix 3 – Document and Retention Schedule

Internal Administration		
Internal Audit	Audit reports, TOR, working papers, correspondence, programmes, plans, minutes	Destroy after 6 years
Legal	Documents used in a fraud investigation, legal advice, working papers, briefing notes, external correspondence (discretion to retain locally for significant matters involving public interest reports, machinery of government or misappropriation)	Destroy 6 years after proceedings complete (see also left)
Guides and manuals	Procedure documents, functional guidance, system guides (excludes audit delivery manuals)	Destroy when superseded
Databases	Records held for appropriate retention period or transferred to new system	When superseded
General administration	Booking evidence, personal email, planning papers, timetables, calendars, correspondence	Destroy by 3 years
Internal communication	Briefings, Hub articles, Trade Union notices (refer to relevant section for specific retention requirements)	When superseded
Tools and resources	Data analytics, external resources,	When superseded
Training	Delivery of training and associated materials (see also Personnel)	Destroy after 6 years
Technical	Ad hoc reports, presentations, training, guides (See Policy and Governance for CoAP and AG guides)	Destroy after 6 years
Insurance records	Public liability, product liability, employers liability,	Destroy after 40 years
	Health, travel and accident	Destroy 15 years after expiry or claim
Horizon scanning and data analysis	Statistics, data collection, intelligence, data analysis	Destroy after 6 years
Resource allocation	Allocation of budgets, workforce, departmental budgets, forecast and review	Destroy after 6 years
Policy and procedures	Team level policy and procedures	Destroy after 6 years
Disaster Planning	Disaster Recovery and Business Continuity Plans; Specific plans relating to recovery of records	Destroy after 6 years when superseded
	Development, testing, approval, regulation, monitoring and review of emergency response plans, including the co-ordination of arrangements, emergency exercises	Destroy after 6 years

## Appendix 3 – Document and Retention Schedule

Internal Administration		
Equality and inclusion	Formal complaints, preparation/revision of equality and inclusions schemes covering all areas, action plans, records on preparation of annual report, equality and inclusion impact assessment and summary information, employee recruitment and career progress, statistical information, training on equality and diversity, human rights information	Destroy after 6 years, when superseded  Copy of website retained, reported through annual report
Welsh Language	Compliance notices and actions, steps to comply with policy making standards, numbers of and copies of complaints, number of new and vacant posts categorised for Welsh, assessment of language skills, number and percentage of staff receiving Welsh training (see also Press, Media and Public Relations)	Destroy after 6 years, when superseded Copy of Website retained, reported through annual report.

Accounting records		
Bank account records	Bank reconciliations, statements, electronic banking, funds transfer, cheques	Destroy after 6 years
Expenditure Records	Invoices, purchase orders, VAT records, capital works projects	Destroy after 6 years
General Ledger records	General and subsidiary ledgers, purchase ledger, credit and bank ledgers, journals	Destroy after 6 years
Receipts, revenue and other accounting records	Invoices and debtors' records, miscellaneous income records, Trial balances, final accounts, debtors records, purchase orders, GPC statements	Destroy after 6 years
Salaries and related records (See also Personnel records – Pay and Pension)	Employee pay histories (the last 3 years' records for leavers must be maintained for calculation of pension entitlement), expenses,	Destroy after 6 years
Registers and statements	Asset registers, depreciation registers, equipment registers,	Destroy 6 years after last asset disposed of
Financial reporting	Statement/summary for inclusion in reports, Audit Committee files held in Finance	Destroy after 6 years
Other accounting financial records	Petty cash, cheque book, cancelled cheques, bank reconciliation sheets, deposit records, calculations; time-recording (after audit)	Destroy by 3 years
Financial authority and delegations	AGW delegations, financial management handbook	Destroy after 6 years when superseded

## Appendix 3 – Document and Retention Schedule

Internal Administration		
Matters of fraud/debt	Theft, fraud, misappropriation, irrecoverable debts/overpayments, write-offs, recovery of debt	Destroy 6 years after action/investigation complete
Personnel records		
Employment and Career	Employment contracts and particulars, changes to terms and conditions, Job history, record of previous service, performance appraisal (last 5 years), disciplinary records where a dismissal took place	Until age 100
Health	Health declaration, referrals, medical reports; papers relating to injury on duty; complete sick absence record; medical reports relating to hazardous substances	Until age 100
Pay and Pension  (See also Accounting Records – Salaries and related records)	Death Benefit Nomination and Revocation Forms; payroll history; marriage/civil registration copies; Record of full name and date of birth, NI number; unpaid leave periods (maternity, parental, etc); pensionable pay at leaving, estimates; resignation, termination and/or retirement letters; Additional Voluntary Contributions (AVCs); papers relating to disciplinary action resulting in changes to terms and conditions of service, salary, performance pay or allowances	Until age 100
	Bank details: statutory maternity pay; statutory sick pay forms and self-certificates; advances for season tickets, bicycles, housing (from employment end); records concerning decisions to allow retirement due to incapacity; pension accounts and associated document; overtime, bonuses; redundancy details and calculations; occupational health and workplace adjustments	Destroy after 6 years
Personnel, welfare papers and other employment related  (See also Internal Administration – Equality and Inclusion, Health and Safety)	Qualifications, references, training history, travel and subsistence, staff relocation current address (after employment ended),	Destroy after 6 years
	Trade Union agreements (when superseded) and consultations	Destroy after 6 years
	Pay and grading framework, performance management framework, organisation charts,	When superseded
	Security vetting, criminal records checks (If included in main personnel file option to retain with the records)	Destroy 6 years after employment

## Appendix 3 – Document and Retention Schedule

Internal Administration		
	Security vetting should be kept until expiry or superseded or end of employment.	When superseded or destroy at end of employment
	Drug and alcohol tests (negative results may be destroyed in 6 months)	Destroy after 6 years
	Disciplinary cases (not resulting in dismissal), grievance and appeals, annual leave, performance and talent management, training and development, flexible working requests, attendance management,	Destroy after 3 years
	Recruitment, appointment, job applications, assessment papers	Destroy after 3 years
	Interview notes	2 years
	Driving licenses (retain duration driving for business and destroy 3 years after); Driving offences (after conviction spent)	Destroy after 3 years

Press, Media and Public Relations		
Stakeholder engagement	Meetings/correspondence, surveys, consultation	Destroy after 6 years
Press release and leaflets	Press releases and reports, including working documents/files; communication materials, eg, leaflets, press notices	Destroy after 6 years - <a href="#">Option to provide copy of important leaflets to National Library for Wales</a>
Published reports	Published reports, including database report records and versions, audit reports, public interest reports, <a href="#">(Retain publishing register permanently, transfer to new system when superseded)</a>	Retain for second review (15 years) – <a href="#">Copy of reports to National Library for Wales</a>
AW Website	Publishing web pages, monitoring, information and advice	Retain - <a href="#">Snapshot copies to National Library for Wales</a>
Press cuttings	Press cuttings, or summaries of press cuttings (sufficient cuttings to demonstrate conduct)	Retain up to 3 years
Language	Translations, interpretation, preferences, other related services (see also contracts and internal administration for Welsh language)	Retain up to 3 years
Media correspondence	Correspondence with media and reports on media/public relations, media campaigns and briefings	Destroy after 6 years

## Appendix 3 – Document and Retention Schedule

Press, Media and Public Relations		
Special events	Correspondence and papers, event reports	Destroy after 6 years
	Conference administration and materials	Destroy after 3 years

Contracts and Tendering		
Corporate projects	Proposals and PIDs; supporting documentation (business case, economic appraisal, feasibility studies and reports); agreements with Contractors and Consultants (see also tendering), management authorisation record	Destroy 6 years after end of project (major projects and buildings second review (15 years))
Tendering	Initial proposal/scoping, feasibility study; agreed specification and evaluation criteria with marks; invitation to tender and successful document; contract, extension /variation, management authorisation record, project board minutes	Destroy 6 years from end of contract (major projects and buildings second review (15 years))
	Minutes of meetings, panel notes/report; unsuccessful tender documents (ensure record in evaluation), draft specification (destroy when specification agreed)	Destroy maximum of 3 years
Suppliers	List of approved suppliers, removals/suspensions	Destroy when superseded or 6 years from end of project
Signed contracts	Signed contracts <u>not</u> under AW seal (excluding maintenance) (contracts under £5,000 value, retain for up to 3 years)	Destroy 6 years from end of contract
	Signed contracts under AW seal i.e. deeds, firms, leases, certain maintenance contracts	Review 15 years from end of contract or disposal
Correspondence, administration and monitoring	Correspondence, dispute over payments and final accounts, variation/extension, complaints, minutes, contract operation, quality review, gantt charts, evaluation, schedule of work	Destroy 6 years from end of contract (15 years major projects)
Land and Building Contracts	Allocation (sublet agreement), procurement/disposal, maintenance, bills of quantity (building and construction); specifications, tender documents (see also facilities section)	Review 15 years after date of disposal
	Leases, Heads of Term, landlord consent and license, schedules of alteration, agreement with consultant and contractors, planning consent, listed buildings, car park license (see also facilities section)	Review 15 years after date of disposal

## Appendix 3 – Document and Retention Schedule

<b>Facilities, Health and Safety, and environment</b>		
Specifications, design plans and drawings	Design and building specifications, feasibility study, CAD records; Master architectural documents and reports; drawings and correspondence; site photos, work in progress and completed, planning	Review 15 years after completion or decision
	Draft and other copies of specifications, internal drawings	Destroy after 6 years
Construction and engineering	Structural engineering; mechanical and electrical engineering; drainage services	Review 15 years after issue
Condition Surveys	Building condition surveys and site surveys; inspections, plant and equipment survey and inspection, test and statutory certificates	Review 15 years after issue
	Land reports - archaeological features; conservation (historical, listed buildings), historical narratives, correspondence	Review 15 years after issue
Maintenance	Maintenance schedules, programme, logs, installation surveys (plant and services), mechanical and electrical records. (transfer to landlord on departure)	Review 15 years after superseded/final entry
Utilities and planning	Utility company correspondence, design, etc; statutory authority correspondence and certificates	Destroy after 6 years from expiry
	Maintenance and operation manuals	Destroy on disposal or transfer to new owner
Equipment and Supplies	All equipment files, information on machinery Product descriptions, operating manuals (transfer to landlord or tenant)	Retain until disposal or when superseded
Environmental	Waste management - Special waste consignment notes; controlled waste consignment note (Duty of Care)	Destroy after 3 years
	Buildings Energy Performance Certificate	Renew 10 years after issue
	Maintenance of Environmental Management System (EMS) – retain sufficient records for ongoing review and historical benchmark, including policies, procedures, database, audit	Destroy after 6 years when superseded
H&S inspections and reports	Fire precaution and services; specialist reports, tests and statutory certificates; other H&S inspection reports	Destroy 15 years after expiry
Exposure to hazardous substances at work	Exposure of identifiable employee or health surveillance; where exposure may lead to disease (lead, asbestos, compressed air, radiation)	Destroy after 40 years

## Appendix 3 – Document and Retention Schedule

	Asbestos inspections and registers (retain originals) (Survey copy to landlord on departure)	Destroy after 40 years
	COSHH product certificates	Replace by 6 years
Accidents and Prevention	Reportable injuries, diseases and dangerous occurrences (RIDDOR); Accident and Incident reports; training records	Destroy after 6 years
	Accident book, fire drill records, first aid records, induction checklists, questionnaires	Destroy after 3 years
Risk assessment	Fire safety assessments, testing of equipment, electrical inspection certificates	Duration of occupation (transfer to landlord)
	Office and DSE risk assessments, PAT testing, new mother assessment, other risk assessment records	Destroy after 6 years

## Appendix 3 – Document and Retention Schedule

Information Management Records		
Information access legislation related material	Freedom of Information Act (FoIA) or Environmental Act – Requests, responses and connected information, disclosure status, complaints and appeals	Destroy after 6 years
	GDPR related records and Data Protection Officer reviews, information audits	Destroy after 6 years
Record keeping	Records relating to the control of record keeping systems, guides and manuals	When superseded
	Documentation of record series (transferred to the National Archive and where TNA determine an item is to be donated to place of deposit)	Preserve permanently
	Record keeping correspondence, review of policy and compliance, development of policy, training, etc.	Destroy after 6 years
Disposal	Retention and disposal schedules; lists or databases of records destroyed	Retain permanently
	Correspondence and papers relating to the compilation of disposal schedules	Destroy after 6 years
Information security and assurance	Security policy, technical risk assessment, system accreditation, encryption, penetration testing, training	Destroy after 6 years
	Recovery plans and manuals, testing,	When superseded

## Appendix 4 – The legal framework for Audit Wales document and records

The [Government of Wales Act 2006](#) requires the Auditor General, and by extension, Audit Wales, to follow the requirements of the Public Records Acts 1958 and 1967, or replacement secondary legislation for Wales (none yet made).

The [Public Records Act 1958](#) lay responsibility on the Audit Wales to identify and safeguard those of their records that are worthy of permanent preservation in The National Archives (TNA). Selection of records for permanent preservation is to be carried out jointly by the DRO and the TNA Client Manager using criteria established under the TNA's Acquisition Policy.

The [Data Protection Act 2018](#) requires, among other things, personal information to be managed and processed in accordance with data protection principles. It also provides individuals with a right of access to information held on them.

The [Freedom of Information Act 2000](#) provides a general right of access to information held by public authorities (including Audit Wales), regardless of age or media. Good record and document management in all media is essential for compliance with the FOIA.

The [Environmental Information Regulations 2004](#) provide for release of information on the state of elements of the environment and activities affecting the environment, including considerations of health and safety, costs and quality of life.