



Record Retention Schedule

Our Record Retention Schedule accompanies our Records Management Policy, which sets out how long we will keep certain types of records. Records are categorised under relevant business functions as can be seen from the summary below.

[Complaints](#)

- Case management
- Internal service quality
- Performance of relevant public bodies
- Complaints Standards

[Facilities Management](#)

- Equipment Management
- Facilities Management

[Finance & Procurement](#)

- Accounting & Reporting
- Banking & Administration
- Budget Management
- External Funding
- Estimate Submission
- Payroll & Pensions
- Procurement
- Purchasing & Payment Processing
- Taxes Management

[Human Resources](#)

- Employee Management
- Employee Relations Management
- Training
- Recruitment

[Information Management](#)

- Information Access & Security Management
- Information Governance Management
- Records Storage Management
- Voice Call Recording

[Management](#)

- Governance
- Performance Management
- Risk Management
- Business Continuity Planning
- Internal & External Audits
- Legal Advice
- Communications, Consultations & Engagement

COMPLAINTS

Ref	Description of record	Point of closure	Total Retention period
CASE MANAGEMENT			
Information relating to the management of complaints cases			
C1	Individual records held on the 'Individual' database.	After the last case linked to the individual is anonymised - there are no links to the individual.	When no cases are linked to the individual.
C2	Individual records held on the 'Relevant Bodies' database.	Not applicable.	Permanently retained.
C3	Website complaint forms and Contact Us forms.	Once the webform has been uploaded to Workpro case management system.	3 months.
C4	Oral complaint list data.	The point when 'Closed at Enquiry'.	1 year.
C5	Complaint case record - Code of Conduct cases	Closed date is the date the status is changed to Closed at the relevant step. The outcome date is the date from which retention period is set.	10 years. Personal data removed from record. Statistical data and final redacted report retained permanently.
C6	Complaint case records - MAL, OI and CAU cases.	Closed date is the date the status is changed to Closed at the relevant step. The outcome date is the date from which retention period is set.	5 years. Personal data removed from record. Statistical data and final redacted report retained permanently.
C7	Landmark cases.	Case closure.	Permanently retained.
C8	Casework Support and Advice requests.	Completion of request.	2 years.
C9	Case information prepared for IPAs (paper sub files).	When IPA advice on case no longer needed / case closure.	
C10	X-rays and CDs.	Decision of case officer / case closure.	As required by case owner / 1 year.
C11	Hard copy correspondence.	Receipt of correspondence following confirmation of successful scan.	3 Months.
C12	Historic casebooks, Our Findings, Public Interest Reports, Special Reports and Thematic reports.	Not applicable.	Permanently retained.
C13	Records identified as of interest to an Independent Public Inquiry.	When advised by the Inquiry that it has published its final report.	
INTERNAL SERVICE QUALITY			
Information relating to process of auditing service quality and compliance			
C14	Service quality audit records.	Reporting to management team.	3 years.

PERFORMANCE OF RELEVANT BODIES (RBs)			
Information relating to performance and quality issues with RBs			
C15	Annual Letters.	Not applicable as published website when issued.	Permanently retained.
C16	Thematic reports.	Date of publication.	2 years - associated documentation. Final reports - permanently retained.
C17	Public interest reports.	Published to website, hardcopy reports held in office. See C6.	Permanently retained.
COMPLAINTS STANDARDS			
Information relating to data submitted by RBs to CSA			
C18	Complaints data returns.	End of financial year.	10 years.
C19	Dashboard.	End of financial year.	10 years.
C20	Published reports.	Not applicable.	Permanently retained.

FACILITIES MANAGEMENT

Ref	Description of record	Point of closure	Total Retention period
EQUIPMENT MANAGEMENT Information relating to the management of our equipment, inspection, repair, testing etc			
FM1	Records relating to the maintenance and testing of equipment (pest control, air con, security systems PAT testing, etc).	When superseded.	7 years.
FACILITIES MANAGEMENT Information relating to the management of our facilities			
FM2	Risk assessments e.g. fire safety and health and safety.	When superseded.	10 years.
FM3	Lease/tenancy records Anything relating to landlord and premises.	Expiry of lease.	15 years.
FM4	Door entry/ID Cards.	Date of termination of employment.	

FINANCE & PROCUREMENT

Ref	Description of record	Point of closure	Total Retention period
ACCOUNTING & REPORTING Information relating to accounting and reporting			
FP1	Annual accounts.	End of financial year.	6 years.
FP2	Published annual accounts and report.	End of financial year.	Permanent.
BANKING & ADMINISTRATION Information relating to administration of bank accounts			
FP3	Bank account administration, including instructions / payments / bank deposits / account monitoring / reconciliation.	End of financial year.	6 years.
BUDGET MANAGEMENT Information relating to monthly capital and revenue budgets			
FP4	Budget management.	End of financial year.	6 years.
EXTERNAL FUNDING Information relating to cash drawdown			
FP5	Monthly cash requisition and remittance from Welsh Government.	End of financial year.	6 years.
ESTIMATE SUBMISSIONS Information relating to annual capital and revenue budgets			
FP6	Annual estimates - documents which are used to prepare for annual report to Welsh Government.	End of financial year.	6 years.
PAYROLL & PENSIONS Information relating to payroll and pensions			
FP7	Completed pension election forms (including electronic submissions).	End of employee contract.	LGPS - 15 years. PCSPS - 6 years.
FP8	Control payroll (cancellations and deductions, invoices, repayments including expense forms and returned BACs etc).	End of employee contract.	LGPS - 15 years. PCSPS - 6 years.

PROCUREMENT			
Information relating to the tendering and awarding of contracts			
FP9	Tender related documents inc. quotes - Successful. Including IT contracts which hold user, system or device requirements and technical specifications.	End of Contract.	7 years but deleted at end of that financial year.
FP10	Tender related documents inc. quotes - Unsuccessful.	Point of award.	1 year.
FP11	Contracts.	End of Contract.	7 years but deleted at end of that financial year.
PURCHASING & PAYMENT PROCESSING			
Information relating to the purchasing and processing of payments			
FP12	Orders, credit notes, creditors invoices, delivery notes, payment records and records of advances.	End of financial year.	7 years.
TAXES MANAGEMENT			
Information relating to taxation			
FP13	Administration relating to payment of collected taxes and NI contributions to HMRC, claims and negotiation of refunds for overpayment, construction industry scheme.	End of financial year.	LGPS - 15 years. PCSPS - 6 years.

HUMAN RESOURCES			
Ref	Description of record	Point of closure	Total Retention period
EMPLOYEE MANAGEMENT Information relating to the management of personnel			
HR1	Records on the staff time keeping system.	Date of termination of employment.	Immediately unless there is a dispute and then deleted on resolution.
HR2	Sickness absence reporting / monitoring e.g. fit notes, staff self-reports.	Date of termination of employment.	3 years.
HR3	Employee record.	Date of termination of employment.	7 years [until NPA birthday or 7 years which ever is greater].
HR4	Occupational health records.	Date of termination of employment.	As per employee record.
EMPLOYEE RELATIONS MANAGEMENT Information relating to management of the relationship between employer and trade union			
HR5	Departmental representatives and Trade Union meeting notes and actions plans.	Last activity date.	7 years.
HR6	PRDP / Supervision notes - held on supervision record not on personnel record.	End of current PRDP year.	2 years.
TRAINING Information relating to the training, development and achievements of staff			
HR7	Training records.	Date of termination of employment.	6 months after leaving date via active directory
RECRUITMENT Information relating to the recruitment of personnel to the organisation			
HR8	Vacancy application including shortlisting and interview panel notes.	End of recruitment process.	1 year.

INFORMATION MANAGEMENT			
Ref	Description of record	Point of closure	Total Retention period
INFORMATION ACCESS & SECURITY MANAGEMENT			
Information relating to access request processing and incident response investigation			
IM1	Information security incident (ISI) investigation, monitoring reports and notifications to ICO.	End of investigation and when fed into monthly reports.	5 years
IM2	Information requests under FOIA, DPA (under information rights regime) and requests for material evidence.	Case closure.	5 years
INFORMATION GOVERNANCE MANAGEMENT			
Information relating to education, training and information assets			
IM3	Records relating to information governance compliance, including audits, assessments and reports.	Annually reviewed and updated with version control.	Hold 5 years of previous versions
IM4	Information asset register records / register of processing activity.	Cessation of asset.	Until register is superseded.
IM5	Privacy notices, Memoranda of Understanding, information sharing agreements, data protection impact assessments.	When superseded.	Kept for the life of the activity to which it relates, plus 6 years after end of activity.
IM6	Record retention schedule.	When superseded.	Not applicable
GENERAL DATA MANAGEMENT			
Management of adhoc data (not classed as a record).			
IM7	Confidential waste collections notes and certificates of destruction.	End of financial year.	6 years
IM8	Recordings of phone calls.	End of recording.	30 days unless they are uploaded to case record.
IM9	Incoming mail once it has been scanned (includes hard copy mail and contents of removeable media e.g. USB and CDs) .	End of the month in which it was scanned.	Data uploaded to relevant record and hard copy retained for 3 months.
IM10	Emails	Retained in Outlook unless case related which are held in Workpro.	Emails to uploaded to relevant record. Individual to manage email account. Emails go into archive state after 12 months.

MANAGEMENT			
Ref	Description of record	Point of closure	Total Retention period
GOVERNANCE			
Information relating to organisational governance including business planning			
M1	Structure charts.	When superseded.	Not applicable.
M2	Records relating to the development of individual policies, procedures, plans and strategies development.	When superseded.	5 years.
M3	Policies, procedures, plans and strategies.	Current or 'live' documents are overwritten (see notes). Those documents which are no longer required will be expired.	10 years (documents which have been expired).
M4	Decision-making meeting agendas and minutes - e.g. Management Team, Advisory Panel and ARAC.	End of meeting.	7 years
M5	Team meeting agendas and notes.	End of meeting.	3 years.
M6	Project work.	End of project.	6 years.
M7	Casework Support requests (non case related).	When the request is complete.	3 years.
PERFORMANCE MANAGEMENT			
Information relating to service and organisational performance			
M8	Adhoc performance management reports.	On completion of report.	3 years.
M9	Reports for Management Team (and any other internal meetings), Advisory Panel and ARAC.	End of meeting.	3 years.
M10	Annual Report and Accounts.	End of financial year.	6 years.
RISK MANAGEMENT			
Information relating to the organisational approach to risk management			
M11	Risk register.	Until superseded.	N/A.
M12	Risk assessments.	See Health and Safety related risk assessments under 'Facilities Management'.	

BUSINESS CONTINUITY PLANNING			
Information relating to business contingency / continuity plans and testing of plans			
M13	Formulation, testing and maintenance of disaster response and recovery plans.	Until superseded.	N/A.
INTERNAL and EXTERNAL AUDITS			
Information relating to internal and external audits			
M14	Preparations for audits, reporting and planning.	Completion of audit.	3 years.
M15	Audit reports.	Completion of audit.	3 years.
LEGAL ADVICE			
Information relating to external legal advice obtained			
M16	General legal advice.	n/a.	Permanent.
COMMUNICATIONS, CONSULTATIONS & ENGAGEMENT			
Information relating to PSOW public facing communications, consultations and engagement activities			
M17	Social media.	n/a.	Permanent - published on the web.
M18	Press / public enquiries.	End of financial year.	1 year.
M19	Website content.	When superseded.	No need to retain.
M20	Factsheets.	When superseded.	No need to retain.
M21	Consultation and engagement activities.	End of engagement / consultation activity.	6 years
M22	Responses to national consultations.	End of engagement / consultation activity.	10 years