



Document and Records Management Policy

1. Keeping records is an essential component of efficient project management. The Wales Audit Office also has a statutory duty under the Public Records Act 1958 to archive records that are worthy of permanent preservation. Selection of records for permanent preservation is determined and agreed between the National Archives and the Wales Audit Office Departmental Records Officer (DRO).
2. This document explains the Wales Audit Office's policy on records management and archiving. It covers all business related information in all media, including both paper and electronic documents.
3. All staff¹ 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 the Wales Audit Office 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 systems² so that information is available to others. 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
 - contracts, legal and other operational/corporate records.

¹ In this policy, the term 'staff' includes temporary workers and contractors.

² The main shared filing systems at the time of writing are: Sharepoint, TeamMate, MK Insight and shared network areas.

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5. A complete list of types of documents to be retained is included in the Wales Audit Office's 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 are registered in the central file register maintained by the DRO. (The central file 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 TeamMate, SharePoint and Insight must be moved to a dedicated archive area and marked 'read only' by the information asset owner. Final copies of reports will also 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 Wales Audit Office's retention schedule, based on model schedules issued by The National Archives. When the agreed retention period expires, the DRO will transfer documents to The National Archives for permanent preservation, or otherwise dispose of them. Staff must review archived paper files and associated electronic files prior to disposal taking place, and, in particular, when requested to do so by the DRO. In the event of non-response to a request for review, the DRO will take the decision on whether to retain documents and may refer issues to the appropriate Director.
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 should be stored on shared drives or filing systems. E-mails which form part of project evidence should be saved in the appropriate shared filing system.
10. Documents that are not stored in a shared filing system ie, master hard copy documents, such as deeds, must be retained in a suitably secure place. They, or the files containing them, should be registered in the central file register. Electronic master documents should be stored in a shared network area or database. When the documents are no longer required on site, files (paper and electronic) must be registered for archiving and passed to the DRO.

Records of historical value will be permanently preserved

11. The Wales Audit Office meets its obligation to identify and safeguard records worthy of permanent preservation for historical reasons, by:
 - operating a system of regular 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' reviewers will be given access to all records for the purposes of establishing their historical value.

We will take all reasonable steps to make information secure

13. In line with the Wales Audit Office Information Security Policy and the obligations under the Public Records Acts, the Wales Audit Office 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 the Wales Audit Office, the Wales Audit Office will comply with the Data Protection Act 1998, 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 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).
17. Some electronic systems provide naming conventions and metadata 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.

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 Wales Audit Office staff;
- hold staff across the Wales Audit Office to account for the delivery of good document and record management;
- deliver record management services under the policy, including development of systems to ensure compliance with the policy and good practice;
- review records management annually, highlight where non-compliance with the policy is occurring and, where appropriate, suggest changes to controls and related procedures; and
- develop and execute a project plan to develop the relationship between paper and electronic records and establish a coherent record keeping system for them.

Engagement Leads and **Heads of Enabler 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; and
- ensure the document and records management policy is followed, including ensuring that documents are reviewed before archiving or disposal.

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

Wales Audit Office document retention schedule

Type	Description	Disposal
Running the Business		
Governance		
Board	Meeting agendas, minutes, supporting papers	Retain for second review (25 years)
Management Committee	Meeting agendas, minutes, supporting papers	Retain for second review (25 years)
Financial and Performance Audit Partners Committee	Meeting agendas, minutes, supporting papers	Retain for second review (25 years)
other governance Committees	Meeting agendas, minutes, supporting papers	Retain for second review (25 years)
Corporate Policy and Procedures		
Auditor General and Wales Audit Office Policy	Administrative files involving policy issues	Retain for second review (25 years)
Auditor General and Wales Audit Office Procedures	Administrative files <u>not</u> involving policy issues	7 years after action
Audit and Technical policy and procedures		
Code of Audit (and Inspection) Practice	<ul style="list-style-type: none"> Draft and final Code, working papers, consultation Draft and final subsidiary guidance on the Code 	Retain for second review (25 years)
	Reviews of compliance with the Code (QCRs)	7 years after action
Audit Technical and Development	Audit and inspection method development files, including draft audit manual etc (FADM and PADM)	Retain for second review (25 years)
Audit Appointments	<ul style="list-style-type: none"> Invitations to tender, bids and assessments Correspondence with appointed auditors 	7 years after end of contract
	Appointment letters	7 years after end of appointment

Type	Description	Disposal
Running the Business		
Internal Audit		
Reports	<ul style="list-style-type: none"> • Audit reports (including interim) • Report papers and documents used in a fraud investigation 	<p>7 years</p> <p>7 years after legal proceedings have been completed</p>
Undertakings	<ul style="list-style-type: none"> • Terms of reference, working papers and correspondence • Programmes, plans, strategies • Minutes of meetings and related papers • Annual reports 	7 years
Internal audit guides and procedures	<ul style="list-style-type: none"> • Internal audit guides and manuals 	When superseded
Auditor General Correspondence and Office Administration		
Substantive correspondence	<ul style="list-style-type: none"> • Letters, emails, evidence to support replies • Queries requesting investigations • Comments from public/elected representatives 	7 years after action
Significant issues material	Objections at audit, declarations, advisory notices and other significant issues material	Retain for second review (25 years)
National Assembly for Wales' Audit Committee/PAC	Audit Committee/PAC Papers, including briefings to the Chair and Committee (retain copies in Auditor General's office)	7 years
Auditor General's Office Administration	<ul style="list-style-type: none"> • Auditor General's Invitations and Regrets • Meetings with foreign contacts • Presentations and internal administration • Current Issues • Engagement diaries 	Retain in Auditor General's Office for 2 years then destroy
	Expenses (held by Finance)	7 years

Type	Description	Disposal
Running the Business		
	Membership Papers (retain in Auditor General's Office)	Membership tenure
Client and Staff Databases		
Contacts Database	Live database, amended as required	When superseded
Publishing Database	Database report records and versions, audit reports, public interest reports	Retain for second review (25 years)
SOS Database	Live database, amended as required	When superseded
HR and Finance	Live database, amended as required (When superseded copied to new database/archive)	When superseded
Absence Recording	Live database, amended as required (copy as above) (See Personnel Records regarding retention)	When superseded

Type	Description	Disposal
Reactive Client Contact		
Financial Audit		
Working document files	<ul style="list-style-type: none"> Working documents/ TeamMate files; FADM forms Permanent audit files (letters of engagement, legislation, terms of reference, finance manual, etc) Project management documents (instructions and audit programmes for mandated audit work) Annual audit/management letters Quality assurance reviews (internal and external) 	7 years
Final Accounts – clear opinion	Final accounts and audit opinion for signature by the Auditor General or appointed auditor (together with covering letter) where certificate clear	7 years
Final Accounts – qualified opinion	Final accounts and audit opinion for signature by the Auditor General or appointed auditor (together with covering letter) where opinion is <u>qualified</u>	Retain for second review (25 years)
Reports	Audit Reports and Public interest reports – all papers and correspondence (final reports held in Publishing database)	Retain for second review (25 years)
Clients	Client information and protocols	when superseded

Type	Description	Disposal
Reactive Client Contact		
Performance Audit and Inspection		
High level planning papers and reports	<ul style="list-style-type: none"> • Forward programme (marking papers, minutes of meetings, draft and final forward programme) • Scoping papers, outline draft reports (includes issue analysis papers, or equivalents) • Substantive draft reports and clearance correspondence • Substantive draft and final inspection reports, letters and clearance correspondence 	Retain for second review (25 years)
Working document files	<ul style="list-style-type: none"> • SharePoint files; CAATS result; PADM forms (CAATS base data destroy after completing work) • Interview notes, statistical analyses and questionnaires, and evidence • Self-assessments, review, minutes of meetings • Quality assurance reviews (internal and external) 	7 years (Performance audit and inspection)
Grants		
European Grants (Structural Funds and any match funds for them)	TeamMate files, working paper files, copies of invoices and claims, certificates, qualification letters and other correspondence	15 years
Other Grants – Assembly sponsored	TeamMate files, working paper files, copies of invoices and claims, certificates, qualification letters and other correspondence	10 years
Central expenditure records	Grant funding records (after action completed/grant made)	7 years

Type	Description	Disposal
Reactive Client Contact		
Client Correspondence and Programming		
Complaints	<ul style="list-style-type: none"> • Correspondence, written response, actions • Minutes of meetings of complaints • Investigations and precedents • Register of complaints 	7 years
Response to Consultation	All correspondence	7 years
Audit and Inspection Co-ordination	<ul style="list-style-type: none"> • Draft and final consolidated work programmes • Relationship manager correspondence and minutes of meetings • Regulatory plans 	7 years

Type	Description	Disposal
Corporate Records		
Accounting Records		
Bank account records	Bank reconciliations, bank statements, electronic banking and electronic funds transfer records, record of cheques paid	7 years
Expenditure Records	Invoices, purchase orders, VAT records	7 years
General Ledger records	General and subsidiary ledgers, sales ledger, purchase ledger, credit and bank ledgers, journals, management Audit Committee files	7 years
Receipts, revenue and other accounting records	<ul style="list-style-type: none"> • Invoices and debtors' records, miscellaneous income records, VAT records • Trial balances, final accounts, debtors records 	7 years
Salaries and related records	Salary records – Employee pay histories (the last 3 years' records for leavers must be maintained in the finance system for calculation of pension entitlement)	7 years (See also Pay and Pension below)
Other accounting financial records	<ul style="list-style-type: none"> • Petty cash receipts/records/sheets • Cheque book, cancelled cheques • Bank reconciliation sheets, deposit records • Calculations and costs for annual estimates 	2 years
Registers and statements	Asset registers, depreciation registers, statement/summary for inclusion in reports	7 years after assets disposed of

Type	Description	Disposal
Corporate Records		
Personnel Records		
Employment and Career	<ul style="list-style-type: none"> • Written particulars of employment • Contracts of employment • Changes to terms and conditions letters • Job history, record of previous service • Annual performance appraisal (last 5 years) 	Until age 100
Health	<ul style="list-style-type: none"> • Health declaration, referrals, medical reports • Papers relating to any injury on duty • Complete sick absence record • Medical reports relating to hazardous substances • Medical self-certificates 	Until age 100 Until age 100 Until age 72 40 years 4 years
Pay and Pension	<ul style="list-style-type: none"> • Death Benefit Nomination and Revocation Forms • Personal payroll history • Marriage/civil registration copies • Record of full name and date of birth, NI number • Unpaid leave periods (maternity, etc) • Pensionable pay at leaving, estimates, awards • 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

Type	Description	Disposal
Corporate Records		
Pay and Pension	<ul style="list-style-type: none"> • Bank details • Payroll input forms and bonus nominations • Statutory maternity pay documents • Statutory Sick Pay (SSP) forms • Advances for season tickets, bicycles, holidays, housing (after employment ended) 	7 years Until age 72 7 years 7 years 7 years after repayment
Personal	<ul style="list-style-type: none"> • Welfare papers • Qualifications/references • Annual performance appraisals (for last five years of service) • Training history • Travel and subsistence forms • Current address details (after employment ended) • Internal job applications • Recruitment, appointment and promotion assessment papers • Annual leave records 	7 years 7 years Until age 72 7 years 7 years 7 years 1 year 2 years 2 years
Press and Public Relations		
Media and the public	Press releases and reports, including working documents/files; Communication materials, eg, leaflets, press notices	7 years
	Published reports, including database report records and versions, audit reports, public interest reports	Second review 25 years
	Press cuttings, or summaries of press cuttings (sufficient cuttings to demonstrate conduct)	1 year

Type	Description	Disposal
Corporate Records		
Internal records	Correspondence with media and reports on media/public relations	7 years
	<ul style="list-style-type: none"> • Communication plans and administration • Reports on publication (outcome review) 	3 years
	Press Office Policy and administrative records	Second review (25 years)
	Handbooks and guides to media/public relations	When superseded
Special events	<ul style="list-style-type: none"> • Correspondence and papers • Reports 	7 years
	Conference administration and materials	3 years
Corporate Projects		
Approved Project Proposals, Project Initiation Documents (PIDs); Final Plans	<ul style="list-style-type: none"> • Proposals and PIDs; supporting documentation (business case, economic appraisal, feasibility studies and reports) 	7 years after completion Note: Major projects second review (25 years)
	<ul style="list-style-type: none"> • Agreements with Contractors and Consultants 	7 years after the end of the project
Meetings, Reports, and Evaluation	<ul style="list-style-type: none"> • Minutes and correspondence • Assessments, quality reviews, Gantt charts, etc • Evaluation • Schedules of work (suppliers) 	7 years – major projects second review 25 years (for the major projects)
Project Tenders and Contracts	See below under Contractual Records	
Miscellaneous	See relevant sections regarding Health and Safety, Accounting Records, Equipment and Supplies under Contractual Records	

Type	Description	Disposal
Corporate Records		
Contractual Records		
Policy matters	Policy on contracts	First (7 years) and Second Review (25 years)
Tendering (See below for Building Contracts)	<ul style="list-style-type: none"> • Initial proposal/scoping, feasibility study, end user • Agreed specification and evaluation criteria • Invitation to tender and successful document • Signed contract and contract extension/variation • Minutes of meetings, panel notes/report • Unsuccessful tender documents 	7 years from end of contract or end of project 1 year from end of contract (5 years for projects) 1 year
Contracts	<ul style="list-style-type: none"> • Contracts <u>not</u> under seal (excluding maintenance) (contracts under £5,000 value, retain for 2 years) 	7 years from end of contract
Building contracts	<ul style="list-style-type: none"> • Building contracts (Bills of Quantity, Leases) see below under Land and Building Contracts for further information 	second review (25 years) for projects
Contracts under seal; maintenance	<ul style="list-style-type: none"> • Contracts under seal (ie, deeds, firms) • Maintenance contracts 	12 years from end of contract
Suppliers	<ul style="list-style-type: none"> • List of approved suppliers • List of removals/suspensions 	When superseded or 6 years from end of project

Type	Description	Disposal
Corporate Records		
Contract operation and monitoring	<ul style="list-style-type: none"> • Reports from contractors • Schedules of work (excluding project related) 	2 years from end of contract
	<ul style="list-style-type: none"> • Correspondence • Dispute over payments and final accounts • Forms of variation, extensions to contract • Record of complaints • Minutes and papers of meetings 	7 years from end of contract
Land and Building Contracts	<ul style="list-style-type: none"> • Allocation (sublet agreement) • Procurement/disposal • Maintenance contracts (12 years after contract) 	12 years after date of disposal
	<ul style="list-style-type: none"> • Bills of quantity (building and construction) • Leases and Heads of Term • Landlord consents and Licenses • Schedules of alterations 	16 years from expiry
Tendering, Buildings projects	<ul style="list-style-type: none"> • Rejected tenders • Tender evaluations and papers • Accepted tenders; agreement with contractors and consultants 	7 years' review 16 years' review
Surveys and inspections	Equipment and supplies	2 years; 7 years for projects
	Buildings Planning consent, listed buildings consents	Second review (25 years)

Type	Description	Disposal
Corporate Records		
Health and Safety		
Exposure to hazardous substances at work (See also under Facilities)	<ul style="list-style-type: none"> • General exposure • Examination and testing of control equipment 	7 years
	<ul style="list-style-type: none"> • Exposure of identifiable employee or health surveillance; where exposure may lead to disease (lead, asbestos, compressed air, radiation) 	40 years
	<ul style="list-style-type: none"> • COSHH product certificates 	5 years
H&S Committee	<ul style="list-style-type: none"> • Minutes, agenda, and papers 	5 years
H&S Inspection	<ul style="list-style-type: none"> • Inspection reports 	12 years after issue
Environmental	<ul style="list-style-type: none"> • Special waste consignment notes 	3 years
	<ul style="list-style-type: none"> • Controlled waste consignment note (Duty of Care) 	2 years
	<ul style="list-style-type: none"> • Buildings Energy Performance Certificate 	10 years
Accidents and Prevention	<ul style="list-style-type: none"> • Reportable injuries, diseases and dangerous occurrences 	3 years (from last entry)
	<ul style="list-style-type: none"> • Accident book 	3 years
	<ul style="list-style-type: none"> • Health and safety questionnaires 	7 years
	<ul style="list-style-type: none"> • Accident and Incident reports 	7 years
Risk Assessments (See also under Facilities)	<ul style="list-style-type: none"> • Fire safety assessments 	5 years
	<ul style="list-style-type: none"> • Office and DSE risk assessments 	
	<ul style="list-style-type: none"> • PAT testing 	2 preceding years
	<ul style="list-style-type: none"> • Electrical inspection certificates (Buildings inspection certificates masters to transfer to landlord when vacating) 	Duration of occupation
Training	<ul style="list-style-type: none"> • Fire warden and First-Aid training 	7 years after role

Type	Description	Disposal
Corporate Records		
Facilities Administration		
Facilities Projects Specifications; plans	<ul style="list-style-type: none"> • Design and building specifications • Design drawings and CAD records • Master architectural documents and reports • (Must be held in Buildings Records Centre (BRC)) 	Review 25 years after contract end
Drawings and photographs	<ul style="list-style-type: none"> • Consultant/contractors drawings, correspondence • Prints, site photographs, work in progress, completed works, publicity photos, (transfer to store 2-3 years after project) 	Review 16 years after completion. Second review 25 years
Drawings	<ul style="list-style-type: none"> • 'As built' or 'as installed' drawings (retain in BRC) • Presentation records including drawings, photos 	Review 15 years after completed
Design	<ul style="list-style-type: none"> • Feasibility studies, preliminary designs, proposals (transfer to store 2 years after project) 	Review 25 years after decision taken
	<ul style="list-style-type: none"> • Working copies of drawings • Draft and other copies of specifications 	12 years 7 years
Construction and engineering	<ul style="list-style-type: none"> • Structural engineering • Mechanical and electrical engineering • Drainage services 	Review 15 years after issue (retain in BRC until superseded)
Condition Surveys	<ul style="list-style-type: none"> • Building condition surveys and site surveys • Quadrennial inspections 	Review 25 years after issue
Fire and other reports	<ul style="list-style-type: none"> • Fire precaution and services • Specialist reports 	Review 10 years after issue

Type	Description	Disposal
Corporate Records		
Facilities Administration		
Land Reports	<ul style="list-style-type: none"> • Archaeological features • Conservation (historical, listed buildings) • Historical narratives 	Review 25 years after issue
Asbestos	<ul style="list-style-type: none"> • Asbestos inspections and registers (retain in BRC for duration) 	Review after 40 years
Maintenance	<ul style="list-style-type: none"> • Maintenance schedules and programme • Maintenance logs or diaries • Installation surveys (plant and services) • Maintenance contracts – see contractual records 	Review 16 years after superseded/final entry
Meetings with contractors	Agendas, minutes, etc	7 years
Utilities and planning	<ul style="list-style-type: none"> • Utility and communication company correspondence, design, etc • Statutory authority correspondence 	16 years after last paper
	<ul style="list-style-type: none"> • Maintenance and operation manuals 	On disposal or transfer to new owner
	<ul style="list-style-type: none"> • Plant and equipment condition surveys 	Review 10 years
	<ul style="list-style-type: none"> • Tests and statutory certificates • Fire certificates 	12 years after expiry/superseded
Equipment and Supplies	<ul style="list-style-type: none"> • All equipment files, information on machinery • Product descriptions, operating manuals 	7 years
Other Miscellaneous	<ul style="list-style-type: none"> • Miscellaneous records – copies of documentation from other projects, training courses, correspondence, resource materials 	2 years

Type	Description	Disposal
Corporate Records		
Other General Services Administration	<ul style="list-style-type: none"> • Petty cash records, receipts, books • Postal remittance, courier books/records • Railway books/records, travel records • Purchase requisition records 	2 years (See also Accounting)
Information Management Records		
Record keeping	Records relating to the control of record keeping systems	When superseded
	Documentation of record series (for series from which records have been transferred to the National Archive)	Preserve permanently
	Internal publications	When superseded
Freedom of Information Act (FOIA) and other information access legislation related material	Requests, responses and connected information	7 years
Disposal	Disposal schedules	Retain permanently
	Correspondence and papers relating to the compilation of disposal schedules	10 years
	Lists or databases of records destroyed	Retain permanently
	Presentations under section 3(6) of Public Records Act 1958 (TNA determine that an item is not for permanent preservation but instead donate to place of deposit)	7 years
General management	Records relating to the development, implementation and review of information management policy	Second review (25 years)
	Guide, manuals on the management of records	When superseded

Type	Description	Disposal
Corporate Records		
Disaster Planning	Disaster Recovery and Business Continuity Plans Specific plans relating to recovery of records	When superseded
Training	FOIA, disaster recovery, archiving, etc	7 years

This retention schedule is largely based on National Archive guidance and is structured to reflect the Wales Audit Office's business. The schedule will be reviewed annually.

Guidance Key:

- **Second review** – items are reviewed by the Departmental Records Officer (DRO) in conjunction with The National Archive. At this point material is selected for transfer to the National Archive.
- **Substantive draft** – the first draft to be sent to the audited body and each significantly changed subsequent version. It does not mean early incomplete drafts; nor does it mean externally exposed drafts that have only minor changes from their previous versions.
- Disposal years stated assumes the following:
 - **audit** from year of closure of account (TNA guidance suggests 6 years and this is incorporated in the 7 year disposal schedule);
 - **corporate projects** – retention periods are from the end of the project; and
 - **contracts** – retention period from end of contract.

Appendix 3

The legal framework for Wales Audit Office document and records management

The **Government of Wales Act 2006** requires the Auditor General, and by extension, the Wales Audit Office, 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 Wales Audit Office 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 and Operational Selection Policy 12.

The **Data Protection Act 1998** requires, among other things, personal information to be managed and processed in accordance with eight 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 the Wales Audit Office), 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.