

Record Retention Schedule

The Public Services Ombudsman for Wales Record Retention Schedule (RRS) accompanies our Records Management Policy. The RRS sets out how long we will keep certain types of records.

The RRS groups different types of records 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 Industrial Relations Management Performance Monitoring & Review Training Recruitment
Information Management	Information Access & Security Management Information Governance Management Records Storage Management Voice Call Recording
Information Technology	Back Up Data Case & System Management Estate Configuration Logs Server & User Data

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/start of retention period	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	Pre-assessment records (Code)	If declaration is received progress to assessment and consider alt record retention. If declaration is not received within 15 working days record is closed.	Workpro - 10 years.
C4	Enquiry records.	When the enquiry is taken and entered onto the system.	Workpro -10 years.
C5	Complaint case records.	When the case is closed. This could be at the end of a step if the complaint is not progressed. The point of closure will be determined by the case owner.	Workpro - 10 yrs anonymised version - indefinitely.
C6	Precedented case records. Those which have been determined of future interest to the office.	Case closure.	Permanently retained.
C7	Case information prepared for Independent Professional Advisers (IPA).	When IPA advice on case no longer needed / case closure.	N/A see notes.
C8	X-rays, CDs, photos or any other hard copy documents or evidence required for the life of the case.	Decision of case officer / case closure.	As required by case owner / 1 year.
C9	Hard copy correspondence.	Receipt of correspondence following confirmation of successful scan.	3 Months.
C10	Duplicate hard copy case files	These are made up for ease of reading and retained until case officer no longer requires it, usually at point of case closure.	
C11	Casebooks published to website.	Not applicable.	Permanently retained.
C12	Children's social care complaint related records as per the requirements of the Independent Inquiry into Child Sexual Abuse.	When advised by the Inquiry.	
C13	Records identified as meeting the Infected Blood Inquiry criteria.	When advised by the Inquiry.	
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 PUBLIC BODIES			
Information relating to performance and quality issues.			
C15	Annual Letters to public bodies.	Not applicable.	Permanently retained.
C16	Thematic reports.	Not applicable.	Permanently retained.
C17	Public interest reports.	When case is closed.	Forms part of case file (see C5).

COMPLAINTS STANDARDS

Information relating to data submitted by public bodies to the PSOW Complaints Standards Authority.

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/ start of retention period	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 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

FINANCE & PROCUREMENT

Ref	Description of record	Point of closure/ start of retention period	Total Retention period
ACCOUNTING & REPORTING			
Information relating to accounting and reporting.			
FP 1	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.			
FP 3	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.			
FP 4	Budget management.	End of financial year	6 years
EXTERNAL FUNDING			
Information relating to cash drawdown			
FP 5	Monthly cash requisition and remittance from Welsh Government.	End of financial year.	6 years.
ESTIMATE SUBMISSIONS			
Information relating to annual capital and revenue budgets.			
FP 5	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.			
FP 6	Completed pension election forms (including electronic submissions).	End of employee contract.	LGPS - 15 years PCSPS - 6 years.
FP 7	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.			
FP 8	Tender related documents inc. quotes - Successful.	Point of award.	7 years.
FP 9	Tender related documents inc. quotes - Unsuccessful.	Point of award.	1 year.
FP 10	Contracts.	End of contract.	7 years.
FP 11	Contracts with IPAs.	End of contract.	7 years.
PURCHASING & PAYMENT PROCESSING			
Information relating to the purchasing and processing of payments.			
FP 12	Orders, credit notes, creditors invoices, delivery notes, payment records and records of advances.	End of financial year.	6 years.

TAXES MANAGEMENT

Information relating to taxation.

FP 13	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.
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HUMAN RESOURCES

Ref	Description of record	Point of closure/ start of retention period	Total Retention period
EMPLOYEE MANAGEMENT			
Information relating to the management of personnel.			
HR1	Kelio - staff timekeeping 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 records.	Date of termination of employment.	7 years [until NPA birthday or 7 years which ever is greater].
HR4	Door entry/ID Cards.	Date of termination of employment.	N/A
HR5	Occupational health records.	Date of termination of employment.	As per employee record.
HR6	IPA contact details database.	When IPA withdraws from 'register'.	7 years.
INDUSTRIAL RELATIONS MANAGEMENT			
Information relating to management of the relationship between employer and trade union.			
HR7	Departmental representatives and Trade Union meeting notes and actions plans.	Last activity date.	7 years.
HR8	Non case related informal meeting notes.	Meeting date.	2 years.
HR9	Settlements / compromise agreements.	Date of termination of employment.	As employee record.
PERFORMANCE MONITORING & REVIEW			
Information relating to individual target setting to meet business requirements and formal reviews.			
HR10	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.			
HR11	Training records.	Date of termination of employment.	6 months after leaving date via active directory (see IT 12).
RECRUITMENT			
Information relating to the recruitment of personnel to the organisation.			
HR12	Vacancy applications.	End of recruitment process.	1 year.

INFORMATION MANAGEMENT

Ref	Description of record	Point of closure/ start of retention period	Total Retention period
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INFORMATION ACCESS & SECURITY MANAGEMENT

Information relating to access request processing and incident response investigation.

IM 1	CCTV recordings.	End of day.	30 days.
IM 2	Information security incident (ISI) investigation, monitoring reports and notifications to ICO.	End of investigation and when fed into monthly reports.	Workpro - 10 years.
IM 3	Information requests under FOIA, DPA (under information rights regime) and requests for material evidence.	End of reporting period (annual).	Workpro - 10 years.

INFORMATION GOVERNANCE MANAGEMENT

Information relating to education, training and information assets.

IM 4	Records relating to information governance compliance, including audits, assessments and reports.	Annually reviewed and updated with version control.	Hold 5 years of previous versions.
IM 5	Information asset register records / register of processing activity.	Cessation of asset.	Permanent.
IM6	Privacy notices, MOUs, information sharing agreements, data protection impact assessments.	When superseded.	Previous versions held for 3 years.

RECORDS STORAGE MANAGEMENT

Information relating to managing the storage, retrieval and disposal of records.

IM 7	Confidential waste collections notes and certificates of destruction.	End of financial year	6 years.
IM 10	Record retention schedule.	When superseded	Not applicable.
IM 11	Scanned incoming mail.	End of the month in which it was scanned.	3 months.

VOICE CALL RECORDING

Management of telephone recordings.

IM 12	Recordings of phone calls.	End of recording.	30 days unless uploaded to complaint case record.
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INFORMATION TECHNOLOGY			
Ref	Description of record	Point of closure	Total Retention period
BACKING UP DATA			
Information relating to the backing up of data.			
IT 1	Backing up of all PSOW data on IT systems.	Once backed up.	1 year.
IT 2	Local backups e.g. SAGE.	End of financial year.	1 year.
CASE & SYSTEM MANAGEMENT			
Information relating to user support, system development/changes and incident management.			
IT 3	Change requests.	End of system or supplier contract.	6 years.
IT 4	Major incident management.	End of system or supplier contract.	6 years.
IT 5	Requests for IT Service support.	End of system or supplier contract.	6 years.
IT 6	User incident management.	Once incident resolved.	3 years.
ESTATE CONFIGURATION			
Information relating to the management of ITC assets and configuration of the estate.			
IT 7	Asset management.	Once asset is disposed of.	6 years.
IT 8	Configuration management.	End of system or supplier contract.	6 years.
LOGS			
Information relating to the logging of improvements, rulesets and incidents.			
IT 9	Continuous improvement log.	End of system or supplier contract.	6 years.
IT 10	Firewall rulesets log.	End of system or supplier contract.	As per the contract requirements for disposal of information by supplier at the end of the contract.
IT 11	Major incident management log.	End of system or supplier contract.	6 years.
SERVER & USER DATA			
Information relating to IT user accounts and data.			
IT 12	IT user account data (Active Directory, email and user data).	When account closed (staff leaves).	6 months (disable) / 1 year (deletion).
IT 13	Server application and configuration data storage inc legacy systems.	To be determined by IT Team as required e.g. when application / system no longer in use.	6 years.
SERVER & USER DATA			
Information relating to IT solutions, design, testing, analysis etc.			
IT 14	User, system or device requirement specification.	End of system or supplier contract.	6 years.

MANAGEMENT			
Ref	Description of record	Point of closure/ start of retention period	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 (docs 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 that are not case based.	When the request is complete.	2 years.
PERFORMANCE MANAGEMENT			
Information relating to service and organisational performance.			
M7	Adhoc performance management reports.	On completion of report.	3 years.
M8	Reports for Management Team (and any other internal meetings), Advisory Panel and ARAC.	End of meeting.	3 years.
M9	Annual Report and Accounts.	End of financial year.	6 years.
RISK MANAGEMENT			
Information relating to the organisational approach to risk management.			
M10	Risk register.	Until superseded	Not applicable.
M11	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.			
M12	Formulation, testing and maintenance of disaster response and recovery plans.	Until superseded.	Not applicable.
INTERNAL and EXTERNAL AUDITS			
Information relating to internal and external audits.			
M13	Preparations for audits, reporting and planning.	Completion of audit.	3 years.
M14	Audit reports.	Completion of audit.	3 years.
LEGAL ADVICE			
Information relating to external legal advice obtained.			
M15	General legal advice.	Not applicable.	Permanent.

COMMUNICATIONS, CONSULTATIONS & ENGAGEMENT

Information relating to PSOW public facing communications, consultations and engagement activities.

M16	Social media.	Not applicable.	Permanent - published on the web.
M17	Press / public enquiries.	End of financial year.	1 year.
M18	Website content.	When superseded.	No need to retain.
M19	Factsheets.	When superseded.	No need to retain.
M20	Consultation and engagement activities including photos and videos.	End of engagement / consultation activity.	6 years.
M21	Responses to national consultations.	End of engagement / consultation activity.	10 years.