



RECORDS RETENTION AND DISPOSAL POLICY

Policy / Procedure Title	Records Retention and Disposal Policy
Responsible officer	Chief Executive and Monitoring Officer

Security Classification	Public
Disclosable under the Freedom of Information Act 2000	Yes

Implementation date	2012
Next review date:	Bi annual

Revision record	
Date:	Nature of revision
March 2019	Updated following changes in data protection legislation
June 2022	<ul style="list-style-type: none"> • Front cover format amended • Retention period for: Asset Acquisitions / disposal (non land), Property Acquisitions and Property Disposals amended

1. Introduction

The Police and Crime Commissioner's office (OPCC) will ensure that information is not retained for longer than is necessary, and will retain the minimum amount of information it requires to carry out its statutory functions. This policy supports the OPCC Publication Scheme and its plans and strategies and is designed to provide clarity and consistency in records management.

Retention periods are given in whole years and are from the end of the financial year to which the records relate. Records should be disposed of by arranging for collection of confidential waste for destruction or shredding, including all copies on whatever format.

With the exception of the standard procedure, set out below, whenever there is a possibility of litigation or a request under the Freedom of Information Act the records that are likely to be affected should not be amended or disposed of until the threat of litigation has ended or the appeal processes under the Freedom of Information Act have been exhausted. In these circumstances the Monitoring Officer (the Chief Executive) should be consulted.

A record of disposals in accordance with this policy should be completed and maintained by the OPCC on an electronic database.

2. Policy Aims

This policy will assist the OPCC to:-

- Ensure the retention and availability of the minimum amount of relevant information that is necessary for the OPCC to operate.
- Comply with any legal and regulatory requirements, including the Freedom of Information Act 2000, the Data Protection Act 2018 and the other relevant legislation.
- Provide an efficient means for employees of retrieving information by ensuring that the amount of information that may be held unnecessarily is reduced.
- Increase the potential for reduced storage capacity needs both for hard copy and electronic storage of information

3. Standard Procedure

This procedure applies to records which do not need to be retained. Information which is duplicated, unimportant or of short term use can be destroyed under this standard procedure, including:

- compliment slips
- catalogues and trade journals
- telephone message slips
- non-acceptance of invitations
- messages or notes not related to Commissioner's office business
- requests for standard information provided by the Authority
- out of date distribution lists
- working papers which lead to a final report (including Commissioner's office meeting papers)
- duplicated and superseded material such as stationery, manuals, drafts, address books and reference copies of annual reports
- e-copies of documents where a hard copy has been printed and filed

The attached Schedule set out the retention periods for particular records.

Freedom of Information Act

The Freedom of Information Act 2000 introduced new rights of access to information which inevitably impacts upon the OPCC's records management and Publication Scheme. The public has a general right of access to all types of recorded information held by public authorities, subject to certain exceptions (providing the public interest in disclosure does not outweigh the public interest in maintaining an exemption).

Information is exempt from the provisions of the Act if it is accessible by other means. If the information is already covered in the OPCC's Publication Scheme and is available via the website there will not be a requirement to provide that information in response to an individual request.

RETENTION SCHEDULE

Function		
PCC Business, Management and Administration	Examples of Records	Retention Period
Meetings where the PCC owns the record including formal, partnership, agency and external meetings	Minutes, agendas and reports Note books General correspondence	Permanent Destroy on completion of book 2 years after date of meeting
External meetings (where the OPCC does not own the record)	Minutes, agendas, reports and presentations	5 years
Working groups/Steering groups	Minutes, agendas, reports and presentations	2 years
PCC decisions	Decision notices and associated documentation	Permanent
Assurance – process of assessing quality, efficiency or performance of the Force/Alliance	Minutes, agendas, reports, supporting documentation, dip sampling records, presentations	PCC term plus 12 months
Independent Custody Visitors	Minutes, agendas, reports, registers of visits, Custody Visitor details Handbook Custody Visitor records	2 years Until superseded 6 years
Corporate planning and reporting	Police and Crime Plans, Strategy Plans, Annual Reports, Delivery Plan	Permanent PCC term plus 12 months
Statutory inspections, reviews and external audit reports	External Audit reports, HMICFRS reports Correspondence	Permanent PCC term plus 12 months
Governance	Corporate Governance Framework, standing orders/financial regulations, Annual Governance Statement	Permanent
Ethical framework	Codes of Conduct Register of interests, registers of gifts and hospitality, Commissioner's Oath	Permanent
Allowances/Expenses	Claim form, letters	7 years after period of appointment ends
Policy development	Policies, joint protocols	PCC term plus 12 months
Public/Partner consultation	Forum notes, records, questionnaires, correspondence, supporting papers	PCC term plus 12 months

Media relations	Media reports, press releases	PCC term plus 12 months
Marketing	Developing and promoting OPCC events Information about the OPCC	PCC term plus 12 months
Office management	Contracts with suppliers	7 years from end of contract
Diaries and calendars	Electronic and manual diaries/calendars	2 years
Health and safety	<ul style="list-style-type: none"> Accident report forms – Accident books; Near Miss Reports Risk assessments 	<ul style="list-style-type: none"> 6 years 10 years until superseded
Health and safety	Fire certificates	12 years after expiry or until superseded
Freedom of Information Act requests	Requests received and responses Appeals, reviews, ICO rulings	PCC term plus 12 months
Unstructured records	Records that do not support a business process, i.e. there is no existing place for them in the filing structure and non will be created. This applies to paper and electronic formats including e-mails.	Destroy as soon as use has ceased
Correspondence from the public	After the final response to an enquiry or a comment	Closure plus 12 months or PCC term plus 12 months whichever is the longer
Equality impact assessments	Initial and full assessments of policies and procedures	Superseded plus 2 years
Approved policies	Code of Conduct, Complaints Policy, etc.	Superseded plus 12 months
Disposal schedules	Lists of any disposals	Permanent

Legal	Examples of Records	Retention Period
Litigation	Correspondence, criminal and civil case files, medical appeal files, employment tribunal files	7 years after last action
Legal advice	Briefing notes, correspondence, Counsel's opinion	7 years
Agreements	Service Level Agreements	6 years after agreement expires
Contracts	Pre Tender Documentation i.e. adverts and notices, expressions of interest, references., shortlist	3 years from date of award of contract
Contracts	Pre Tender Documentation i.e. evaluation reports (PQQs)	7 years

Contracts	Contract Documents i.e. original tender, signed acceptance plus any variations to contract, performance notices, records of complaints, termination notices, extensions to contract	6 years from end of contract unless it's a Deed where 12 years is necessary
Asset acquisition/disposal (Non land)	Legal documents relating to purchase/sale, leases, tender documents	Destroy 25 years after terms expire
Property acquisition	Plans and reports	Destroy 25 years after all obligations end, or retain indefinitely where restricted covenants apply
Property disposal	Survey reports, tender documents, conditions of contracts	Destroy 25 years after all obligations end, or retain indefinitely where restricted covenants apply
Insurance	Insurance policies, correspondence	Until Superseded or cancelled + 10 years
Grants made by the PCC	Evaluation criteria, successful grant document, conditions of grants document	6 years from end of contract

HR	Examples of Records	Retention Period
Personnel records	Relating to individual service records	Until age 100
	Sickness records	Until age 72
	Discipline records	Length of service plus 12 month
Staff recruitment	Information provided as part of the application process	1 year
Staff leave monitoring	Leave records, time sheets flexi records	2 years
Employment tribunals	Records and files	6 years from conclusion of case
Appointment of Members (Audit and Standards Committee, Misconduct Panels, etc.) and ICV volunteers	Personnel files	7 years after appointment ends
Police Appeals Tribunals	Correspondence, reports, agendas, minutes	7 years

Finance	Examples of Records	Retention Period
Annual reports	Annual statement of accounts	Six years
Internal inspections, audits and reports	Internal Audit Reports	Six years
Finance reports	Quarterly budget reports, working papers	Six years
Approvals/purchase	Purchase/sales orders	Six years
Expenditure	Invoices, receipts, bank statements, vouchers, ledger	Six years
Payroll	Claim forms, pay/tax records	Six years
Budget setting	Final annual budget Draft budgets and estimates	Permanent
Budget monitoring	Quarterly statements	Six years
Asset monitoring and maintenance	Assets / equipment registers / records	When last item in register has been disposed of + 6 years
Taxation records	Taxation Records	Six years plus current year
Pensions records	Pension files (including Widows)	Until age 100