



Records Retention & Disposal Policy

Version No.	V1.2	Review Date:	16.08.17
Policy Author:	Information Officer	Policy Owner:	Chief Executive
Created on:	16.08.17	Ratified on:	
Last Reviewed on:	31.08.17	By Whom:	L.Hemsworth
To be reviewed 3 yearly	08/2020		

Office of the Police and Crime Commissioner for South Yorkshire

Records Retention & Disposal Policy (v1.2)

Purpose

This policy supports the OPCC Information Management Policy and provides guidance to staff on which records should be maintained, in what format and for how long, in order to meet the operational needs of the OPCC while complying with all relevant legal requirements.

Records retention and disposal is an essential component of an efficient and effective information management system. This policy aims to protect the interests of the OPCC and its stakeholders by ensuring that business records are being retained and disposed of appropriately.

It is important that records are not retained on a 'just in case' basis, which in itself may bring unnecessary risk to the organisation. This policy outlines a 'common sense' approach to records retention and disposal, for the OPCC.

Information is a vital asset for any organisation. The OPCC depends upon reliable, up-to-date information systems to support the work that it does and the services provided to the communities of South Yorkshire. This policy and associated standards will help the OPCC to:-

- Ensure the retention of and easy accessibility to the minimum amount of relevant information that is necessary for the OPCC to operate.
- Comply with all relevant legal and regulatory requirements, including the Lord Chancellor's Code of Practice on the management of records issued under section 46 of the Freedom of Information Act 2000, the Data Protection Act 1998, Audit Commission Act 1998.
- Be more efficient by saving employees'(*) time and effort when storing and retrieving information.
- Minimise the administrative overhead to the OPCC and save money in terms of storage costs where hard copy information is taking up office space and electronic documents are using excessive storage capacity on computer equipment such as network servers.
- Preserve corporate memory.

* This policy applies to all staff whether temporary, contractor or those commissioned to work on behalf of the oPCC

Governance

The lead responsibility for records and information management rests with the Chief Executive and Solicitor who is the Monitoring Officer, and operational responsibility rests with the Head of Governance (Deputy Monitoring Officer). All staff are responsible for ensuring that adequate records are kept of the activities for which they are accountable and for observing / adhering to this policy. The Information Officer will support staff in this regard.

What is a record?

- Records can be paper files, electronic documents, correspondence (including letters, faxes and emails) and data used in business applications and databases. Records should:
 - Be authentic:- they are what they say they are;
 - Be reliable:- they can be trusted as a full and accurate record;
 - Have integrity:- they have not been altered since they were created or filed;
 - Be usable:- they can be easily retrieved, read and used.

Standard Policy – Records to be retained

The attached Schedules set out the retention periods for particular records ('Records' are defined as *'information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business'*).

Retention periods are given in whole years and are from the end of the financial year to which the records relate. Records should be reviewed, prior to considering disposal and in accordance with the attached table, unless, the following applies:-

- Potential or ongoing legal case or other formal process.
- Required for the purpose of retaining an audit trail of decision making
- Legacy Issues including:-
 - Hillsborough
 - Orgreave
 - CSE

(If in doubt, consult SLT).

If the reason for retaining information is for reference purposes, consideration should be given to creating a 'precedent'. Precedents should be sanitised of **any** personal information and stored in the relevant folder.

Standard Policy – Records not to be retained

This policy 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 policy, including:

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

Security

Information is a corporate asset and its' loss could cause disruption to day to day business and is a disciplinary matter. Therefore records used, carried and /or created off-site must be done with due attention to their security and in line with the Information Security Policy (under review).

Particular care should be taken with information that is operationally sensitive, confidential or bears a protective marking.

Disposal

Where disposal is appropriate, it should be done by arranging collection of confidential waste for destruction or shredding, including all copies in whatever format.

This policy along with adherence will be reviewed by the OPCC Information Officer.

Function		
PCC Business, Management and Administration	Examples of Records	Retention
Meetings (where the PCC owns the record - includes formal, partnership, agency and external meetings)	Minutes, agendas and reports Indexes Note books General correspondence	Permanent Permanent Destroy on completion of book 2 years after date of meeting
External meetings (where the OPCC does not own the record)	Minutes, agendas and reports	2 years
Working Groups/Steering Groups	Minutes, agendas and reports	2 years
PCC Decisions	Decision Records	Permanent
Assurance - process of assessing quality, efficiency or performance of the Force	Minutes, agendas, reports, supporting documentation, dip sampling records	2 years
Appointment of Chief Constable	Advertisements, application forms, interview reports Personnel Files	2 years 7 years after termination
Dismissal of Chief Constable	Resignation, redundancy, dismissal, death, retirement	7 years after termination of employment
Complaints	Correspondence, summary reports, details of investigations	7 years
Independent Custody Visiting	Minutes, agendas, reports, registers of visits, custody visitor details Handbook	2 years Until superseded
Corporate Planning and Reporting	Police and Crime Plans, Strategy Plans, Annual Reports, Registers	Permanent
Statutory Inspections, reviews and external audit reports	External Audit reports, HMIC reports Correspondence	Permanent 2 years
Governance	Corporate Governance Framework, standing orders/financial regulations	Permanent
Ethical Framework	Code of Conduct Register of interests, register of gifts and hospitality, Commissioner's oath	7 years Permanent

Allowances/Expenses	Claim forms, letters	7 years after period of appointment ends
Policy Development	Policies, policys, joint protocols	Until superseded
Public/Partner Consultation	Forum notes, records, questionnaires, correspondence, supporting papers	2 years
Information Management	Filing indices, records of transfer to archives, disposal records Routine correspondence with OPCC	Permanent
Media Relations	Media reports, press releases	Permanent
Marketing	Developing and promoting OPCC events Information about the OPCC	2 years Until superseded
Office management	Contracts with suppliers	7 years from end of contract
Diaries and calendars	Electronic and manual diaries/calendars	2 years
Health and Safety	Risk assessments, accident books, RIDDOR correspondence and fire certificates	Destroy after 7 years
Freedom of Information Act requests	Requests received and responses	2 years
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 emails.	Destroy as soon as use has ceased.
Correspondence from the public	After the final response to an enquiry or comment	2 years

Legal		
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	SLAs	6 years after agreement expires
Contract development (ordinary)	Tender specification	6 years after terms have expired
Contract development (under seal)	Tender specification	12 years after terms have expired
Tenders	Tender envelopes	1 year after start of contract
Evaluation of tenders (ordinary)	Evaluation criteria, successful tender document	6 years after terms have expired
Evaluation of tenders (under seal)	Evaluation criteria, successful tender document	12 years after terms have expired
Post tender negotiation	Minutes, correspondence	1 year after terms of contract have expired
Asset acquisition/disposal (non land)	Legal documents relating to purchase/sale, leases, tender documents	Destroy 12 years after terms expire
Property acquisition	Plans and reports	Life of property plus 12 years
Property disposal	Survey reports, tender documents, conditions of contracts	Destroy 15 years after all obligations end
Insurance	Insurance policies, correspondence	Destroy 7 years after terms expire

HR		
Personnel administration	Personnel file (including contracts, probation records, appraisals, references, sickness records, reasonable adjustment requirements) and disciplinary records (including warnings and grievance records)	7 years after individual leaves employment
Staff recruitment	Advertisements, applications forms, interview notes, references	(Unsuccessful) 6 months (Successful) 7 years after end of employment
Appointment of Members (Audit Committee, Misconduct Panels, Independent Advisory Groups, Ethics Panel)	Personnel files	7 years after appointment ends
Employee relations	Agreements, correspondence re formal negotiations Correspondence re minor and routine matters	Permanent 2 years
Medical records	Medical examinations, adjustment to work examinations	7 years after individual leaves employment
Staff leave monitoring	Leave records, flexi sheets	7 years
Staff termination	Resignation, redundancy, dismissal, death or retirement	7 years after termination or, if pension paid 7 years after last pension payment
Police Appeals Tribunals	Correspondence, reports, agendas, minutes	7 years
Business Interest Appeals	Appeals in relation to business interests	7 years

Finance		
Annual reports	Annual statements of accounts	Permanent
Internal inspections, audits and reports	Internal audit reports	Permanent
Finance reports	Quarterly budget reports, working papers	Destroy when admin use complete
Approvals/purchase	Purchase/sales orders	Destroy 7 years after end of financial year
Expenditure	Invoices, receipts, bank statements, vouchers, ledger	Destroy 7 years after end of financial year
Payroll	Claim forms, pay/tax records	Destroy 7 years after the end of financial year
Budget setting	Final annual budget Draft budgets and estimates	Permanent
Budget monitoring	Quarterly statements	Destroy after next year's annual budget adopted
Asset monitoring and maintenance	Asset registers Inventories	Destroy 7 years after end of financial year Destroy 2 years after admin use
Taxation records	Taxation records	7 years after end of financial year