

POLICE AND CRIME COMMISSIONER FOR WEST YORKSHIRE

RECORD DISPOSAL PROCEDURE 2018

The Office of the Police and Crime Commissioner is committed to operating in an open and transparent manner. The record disposal procedure is designed to support the Commissioner's corporate governance framework.

The purpose of this procedure is to:

- prevent the premature destruction of records
- provide consistency of preservation/destruction
- improve record management

Records should be retained for the periods shown in the attached schedule. All 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 shredding / arranging for collection as confidential waste for destruction by the appropriate body and this should also include all back-up copies on alternative media.

NOTE: 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.

A record of disposal of the information detailed in the attached schedule should be maintained which identifies each record destroyed.

Standard Operating Procedure

This applies to records which do not need to be kept at all. Information which is duplicated, unimportant or of short term use can be destroyed under the Standard Operating Procedure, including:

- compliments slips
- catalogues and trade journals
- telephone message slips
- non-acceptance of invitations
- trivial e-messages or notes not related to OPCC business
- requests for stock information such as maps, plans or marketing material
- out of date distribution lists
- working papers which lead to a final report (including notes of meetings)
- duplicated and superseded material such as stationery, manuals, drafts, address books and reference copies of annual reports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 or vice versa except where these may be used as evidence to prove that something happened.

RETENTION PERIODS

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1. POLICE AND CRIME COMMISSIONER

	Function	Records	Retention
A	Notes of formal meetings	Minutes, agendas and reports Rough/draft/audio minutes	Permanent Destroy on completion of final minutes/notes
B	Decisions	Decision reports Decision logs	Permanent Permanent
C	Partnership, agency and external meetings (where the Commissioner owns the record)	Minutes Agendas and reports	Permanent
D	External meetings (where the Commissioner does not own the record)	Minutes Agendas	EoCY + 4 years
E	Working Groups/Steering Groups/Review Groups/Informal meetings	Minutes Agendas and reports	5 years
F	Appointment of Chief Constable	Advertisements Application forms Interview reports Personal files	5 years Retain on personal file for successful applicant(s) Retain on personal file for successful applicant(s) 6 years from leaving date
G	Dismissal of Chief Constable	Resignation, redundancy, Dismissal, death, retirement	6 years after termination
H	Complaints against Chief Constable	Correspondence	6 years after finalisation
I	Complaints - other	Correspondence Summary reports Details of investigations into complaints	EoCY+6 years after finalisation EoCY+6 years after finalisation EoCY+6 years after finalisation
J	Independent Custody Visiting Scheme	Minutes of meetings, agendas, reports, Registers of visits Custody Visitor details Handbook	3 years 3 years To end of individual's appointment Until superseded
K	Corporate planning and reporting	Policing plans Strategy plans Annual reports	Permanent
L	Statutory Inspections, reviews and external audit reports	HMI reports	Permanent
M	Statutory returns	Reports to Central Government	Permanent
N	Correspondence re. policing matters	Letters, notes & reports re policing in W Yorks and national initiatives	Permanent
O	Special events (including opening of stations)	Correspondence & papers Visitors books, brochures & guides	7 years 3 years
P	Police Appeals Tribunals	Correspondence and record of actions	6 years after last action
Q	Register of gifts and hospitality		EoFY+6 years
R	Register of interests		Permanent
S	Commissioner oath		Permanent
T	Payments to the Commissioner	Expenses, allowances	EoFY+6 years
U	Casework	Correspondence with members of public on policing including records retained on database (CFL)	EoCY + 6 years after finalisation

V	Recruitment of Legally Qualified Chairs for Misconduct Hearings	Application forms/letters of interest, assessment and interview notes for successful applicants Application forms/letters of interest, assessment and interview notes for unsuccessful applicants	Add to personnel file (see HR) 1 year
W	Police and Crime Panel	Correspondence, decisions, reports	EoCY+4 years OR for term of PCC; whichever is longer
X	Safeguarding Analysis	Reports	1 year
Y	PCC meetings	Notes, apologies, bookings, diary arrangements	Term of PCC + 1 year

2. MEMBERSHIP

	Function	Records	Retention
A	Appointment of members (Audit Panel, Misconduct Members, Review Group Members)	Personal files Application forms, interview notes,	6 years from leaving date Retain on personal file
B	Attendance records	Attendance database	Permanent
C	Payments	Attendance allowance payment details	EoFY+6 years
D	Registers of Members interests and hospitality	Register of Interests Register of Hospitality and/or gifts	Permanent EoFY+6 years
E	Personal Development Review	PDR – notes of meetings and records of development	EoCY+6 years OR review annually upon leaving
F	Members anti-discrimination code of conduct	Signed acceptance sheets	On retirement
G	Correspondence with members	Emails, letters	EOCY+6 years

3. MANAGEMENT AND ADMINISTRATION

	Function	Records	Retention
A	Policy development	Policies Instructions/procedures Organisation charts Standing orders/financial regulations Executive Decisions	Permanent
B	Policy / strategy review		5 years
C	Public consultation	Notes, records, correspondence including surveys	2 years
D	Information management	Filing indices Records of transfer to archives Summary of responses to enquiries Disposal records Reports/correspondence on disclosure decisions Information Audit Template	Permanent Permanent Permanent Permanent EoCY + 6 years Permanent
E	Media relations	Media reports Press releases	3 years 3 years
F	Marketing	Developing and promoting events Information about the Commissioner	2 years When superseded
G	Office Management	Contracts with suppliers	12 years from end of contract
H	Diaries and calendars	Electronic and manual diaries/calendars	3 years
I	Management Team notes	Minutes and actions for OPCC internal team meetings	EoCY+2 years (unless refers to policy decision in which case retain as policy development)
J	Call recordings	Electronic call recordings	3 months (transfer to casework file where appropriate)
K	Visitors book	Note of visitors to OPCC premises	1 year

4. LEGAL, CONTRACTS AND GRANTS

	Function	Records	Retention
A	Litigation	Correspondence Criminal and civil case files	6 years after last action
B	Advice	Correspondence	3 years
C	Agreements	Service level agreements	6 years after agreement expires
D	Contract development (ordinary)	Tender specification	6 years after terms have expired
E	Contract development (under seal)	Tender specification	12 years after terms have expired
F	Tenders	Tender envelope	1 year after start of contract
G	Evaluation of tenders (ordinary)	Evaluation criteria Successful tender document	6 years after terms have expired
H	Evaluation of tenders (under seal)	Evaluation criteria Successful tender document	12 years after terms have expired
I	Post tender negotiation	Minutes Correspondence	1 year after terms of contract have expired
J	Asset acquisition/disposal (non-land, see section 7)	Legal docs relating to purchase/sale Leases Tender documents	12 years from when terms expire
K	Grants (including Safer Communities Fund, Innovation/PEG funds, Community Safety Funds)	Grant agreements, contracts, correspondence, performance monitoring Statements/accounts Decisions	EoFY+6 years after terms have expired Permanent (on website)

5. HUMAN RESOURCES

	Function	Records	Retention
A	Personnel administration	Establishment lists Personnel files	Permanent Destroy 6 years from leaving date
B	Employee relations	Agreements Correspondence re. Formal negotiations Correspondence re minor & routine matters Agency staff records	Permanent 2 years 2 years from leaving date
C	Disciplinary & grievance investigations (proved)	Disciplinary records	Oral warning – 6 mths Written warning – 1 year Final warning – 18 mths
D	Disciplinary & grievance investigations (unproved)	Disciplinary records Grievance records	Destroy immediately after appeal
E	Grievances	Correspondence and notes	6 years
F	Medical records	Medical examinations Adjustment to work examinations	Add to personal file
G	Recruitment	Advertisements, application forms, references, interview reports Application forms, references, interview reports from unsuccessful applicants Register of individuals interested in volunteering (e.g. Independent Custody Visitors)	Add to personal file 1 year Review annually
H	PDR	Probation reports Performance reports & plans	EoCY+6 years OR review annually upon leaving
I	Staff leave monitoring	Sickness records Leave records	Review annually on case by case basis
J	Staff termination	Resignation, redundancy, dismissal Death or retirement	Add to personal file
K	Register of interests for staff		Permanent
L	Youth Advisory Group	Applications/agreements	Destroy upon leaving

6. FINANCIAL MANAGEMENT

	Function	Records	Retention
A	Annual reports	Annual statement of accounts	Permanent
B	Internal Audit	Internal Audit Reports- main financial & subsidiary systems Value for money studies Working papers Follow up audits Reports/papers used in the course of a fraud investigation	Destroy on completion of next full audit Destroy on full implementation of recommendations or completion of follow up audit Destroy on completion of next full audit 6 years after legal proceedings are complete
C	Finance reports	Quarterly budget reports Working papers and system reports	Destroy when admin use complete
D	Approvals/purchase	Purchase/sales order	EoFY+6 years
E	Expenditure	Invoices/receipts Bank statements Vouchers/ledger	EoFY+6 years
F	Payroll	Claim forms Pay / tax records Summary pay reports	EoFY+6 years Destroy after admin use
G	Budget setting	Final annual budget Draft budgets and estimates Quarterly budget reviews	Permanent Destroy 2 yrs after budget set Destroy after following yrs budget adopted
H	Register of staff gifts and hospitality		EoFY+6 years
I	Requests for financial assistance	Correspondence and agreements	EoCY+6 years after last action
J	Treasury Management	Reports Investment and borrowing Decisions MRP calculations Bank transactions and approvals	EoFY+6 years

7. PROPERTY AND LAND MANAGEMENT

	Function	Records	Retention
A	Property acquisition	Plans and reports	Life of property plus 12 years
B	Property disposal	Survey reports Tender documents Conditions of contracts	Destroy 25 yrs after all obligations end
C	Management of buildings of special interest	Project specs Plans Certificates of approval	Permanent
D	Insurance	Insurance policies Correspondence	Destroy 7 yrs after terms expire
E	Survey and costs	Miscellaneous report	25 years
F	Estates	Decorating, PAT testing, repairs, maintenance of OPCC premises, warranties, instruction manuals	12 years or when superseded

8. GENERAL

	Function	Records	Retention
A	Health & safety	Risk assessments Accident books/RIDDOR correspondence and fire certificates	Destroy after 6 years
B	Government Department circulars	Statutes APA/APCC Circulars	Destroy after 3 years