

POLICE AND CRIME COMMISSIONER FOR WEST YORKSHIRE

RECORD DISPOSAL PROCEDURE 2020

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. There is no requirement to record the disposal of information which comes under the standard operating procedure.

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- out of date distribution lists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- duplicated and superseded material such as stationery, manuals, drafts, address books and reference copies of annual reports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.
- If you are not actually using a record, you should consider whether you need to retain it.

RETENTION PERIODS

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1. POLICE AND CRIME COMMISSIONER

	Function	Records	Retention	Information asset Owner / Information Asset Administrator
A	Notes of formal meetings Including but not limited to: Bilat COM PEG Delivery Quarterly Good Governance JEG JIAEC Internal Commissioning Group Community Safety Partnership Forum	Minutes, agendas and reports Rough/draft/audio minutes/ Skype Recordings	Permanent Destroy on completion of final minutes/notes	Governance Manager
B	Exec Decisions	Decision reports Decision logs	Permanent Permanent	Executive Support
C	Partnership, agency and external meetings (where the Commissioner owns the record) Including but not limited to: Domestic & Sexual Abuse Board Third Sector Advisory Board SARC Reducing Reoffending Board Local Criminal Justice Board Criminal Justice Board Mental Health Forum Females at Risk of Offending	Minutes Agendas and reports Rough/draft/audio minutes/ Skype Recordings	Permanent Destroy on completion of final minutes/notes	Head of Policy & Delivery
D	External meetings (where the Commissioner does not own the record)	Minutes Agendas Commissioner Briefings	EoCY + 4 years Permanent	Head of Policy & Delivery
E	Working Groups/Steering Groups/Review Groups/Informal meetings Including but not limited to Regional Collaboration Board Tri-Services Collaboration Board	Minutes Agendas and reports Commissioner Briefings	5 years Permanent	Head of Policy & Delivery
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	Governance Manager

			applicant(s) 6 years from leaving date	
G	Dismissal of Chief Constable	Resignation, redundancy, Dismissal, death, retirement	6 years after termination	Governance Manager
H	Complaints against Chief Constable	Correspondence	6 years after finalisation	Governance Manager
I	Complaints - other	Correspondence Summary reports Details of investigations into complaints WYP Complaint Reviews	EoCY+6 years after finalisation EoCY+6 years after finalisation EoCY+6 years after finalisation	Casework Manager
J	Independent Custody Visiting Scheme	Minutes of meetings, agendas, reports, Registers of visits Custody Visitor details Handbook Notification of Code Hs	3 years 3 years To end of individual's appointment Until superseded	Governance Manager / Business Support Lead
K	Corporate planning and reporting	Policing plans Strategy plans Annual reports	Permanent	Business Support Lead
L	Statutory Inspections, reviews and external audit reports	HMI reports	Permanent	Governance Manager
M	Statutory returns	Reports to Central Government	Permanent	Governance Manager
N	Correspondence re. policing matters	Letters, notes & reports re policing in W Yorks and national initiatives	Permanent	Policy & Delivery
O	Special events (including opening of stations)	Correspondence & papers Visitors books, brochures & guides Attendees at Events Consent for Event Invites Photos at Events	7 years 3 years	Head of Policy & Delivery / Engagement Officer
P	Police Appeals Tribunals	Correspondence and record of actions	6 years after last action	Casework Manager
Q	Register of gifts and hospitality		EoFY+6 years	Governance Manager
R	Register of interests		Permanent	Governance Manager
S	Commissioner oath		Permanent	Governance Manager
T	Payments to the Commissioner and Senior Leaders	Expenses, allowances	EoFY+6 years or the term of Commissioner or Senior leader whichever is greater	Governance Manager
U	Casework	Correspondence with members of public on policing including records retained on database (CFL), including supplier requests and inappropriately directed motor insurance claim correspondence	EoCY + 6 years after finalisation	Casework Manager
V	Recruitment of Legally Qualified Chairs for	Application forms/letters of interest, assessment and	Add to personnel file (see HR)	Governance

	Misconduct Hearings	interview notes for successful applicants Application forms/letters of interest, assessment and interview notes for unsuccessful applicants	1 year	Manager
W	Police and Crime Panel	Correspondence, decisions, reports	Permanent	Head of Policy & Delivery/ Partnerships Officer
X	Safeguarding Analysis	Reports	1 year	Safeguarding Advisor
Y	PCC meetings	Notes, apologies, bookings, diary arrangements	Term of PCC + 1 year	Exec Support
Z	PCC Leadership Awards	Award Certificate	Permanent	Governance Manager

2. MEMBERSHIP

	Function	Records	Retention	Information Asset Owner/ Information Asset Administrator
A	Appointment of members (Audit Panel, Misconduct Members, Review Group Members)	Personal files Application forms, interview notes, List of members	6 years from leaving date Retain on personal file 6 years from being superseded	Governance Manager
B	Attendance records	Attendance database	Permanent	Governance Manager
C	Payments	Attendance allowance payment details	EoFY+6 years	Business Support Lead
D	Registers of Members interests and hospitality	Register of Interests Register of Hospitality and/or gifts	Permanent EoFY+6 years	Governance Manager
E	Personal Development Review	PDR – notes of meetings and records of development	EoCY+6 years OR review annually upon leaving	Governance Manager
F	Members anti-discrimination code of conduct	Signed acceptance sheets	On retirement	Governance Manager
G	Correspondence with members	Emails, letters	EOCY+6 years	Governance Manager
H	Youth Advisory Panel	Applications & Membership Parental Consent records	Destroy Upon leaving	Head of Policy & Delivery/ Engagement Manager

3. MANAGEMENT AND ADMINISTRATION

	Function	Records	Retention	Information Asset Owner
A	Policy development	Policies Instructions/procedures Organisation charts Standing orders/financial regulations Executive Decisions	Permanent	Head of Policy & Delivery
B	Policy / strategy review	OPCC Consultation Responses (External)	5 years	Head of Policy & Delivery
C	Public consultation	Notes, records, correspondence including surveys Your Views Survey Responses Online & Paper Precept Survey Responses Online & Paper Ad-Hoc Survey Responses Online & Paper Aggregated Your Views Data Aggregated Precept Data Aggregated Ad-Hoc data	2 years (unless consent obtained to retain details on contact database) 6 months 6 months 6 months Permanent Permanent Permanent	Head of Policy & Delivery
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 Records of Processing Activities Privacy Notices Data Breach Reports DPIA Data Subjects Rights Freedom of Information Requests	Permanent Permanent Permanent Permanent EoCY + 6 years Permanent Permanent Permanent 6 years 6 years 6 years from last action 6 years from last action	Governance Manager
E	Media relations	Media reports Press releases	3 years 3 years	Head of Communications
F	Marketing	Developing and promoting events Newsletter Signups Photos Photo Consents Blogs Website Analysis Data Information about the Commissioner	2 years When superseded	Head of Communications

G	Office Management	Contracts with suppliers	12 years from end of contract	Business Support Lead
H	Diaries and calendars	Electronic and manual diaries/calendars	3 years	All Information Asset Owners for their departments
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)	All Information Asset Owners for their departments
J	Call recordings	Electronic call recordings	EOCM + 3 months (transfer to casework file where appropriate)	Casework Manager
K	Visitors book	Note of visitors to OPCC premises	1 year	Business Support Lead
L	Post logs and voicemail logs	Record of post received and voicemail messages left	Suggested 1 year (transfer to relevant work stream where appropriate)	Business Support Lead
M	Training	Guides Course material Evidence of mandatory training	EOCY + 6 Years EOCY + 6 Years Destroy 6 years from leaving date	Business Support Lead
N	OPCC Equipment Asset Register and Disposal Log	Asset register Disposal log	EOFY + 6 Years EOFY + 6 Years	Business Support Lead
O	Risk Register	Assessments, updates Working papers	7 Years after resolution of risk	Treasurer
P	CCTV	Footage from cameras around Ploughland House	3 months	Casework Manager
Q	Pool Car	Fuel Receipt Log book Maintenance Records Accident Reports Motor Insurance Fuel Receipts	EOFY + 6 Years 3 years after disposal of vehicle. 3 years after disposal of vehicle. EOFY + 6 Years 3 years after disposal of vehicle. EOCY +6 years	Business Support Lead
R	Emails in non-personal mail boxes	Audit Contact 2 DPO OPCC Markburns-williamson npas Newsletter Police & Crime Commissioner Putting Things Right PCC FOI PCC Contact PCC Admin Press Regional Collaboration Board Safer Communities Fund WYOPCC Modern Slavery	EOCY + 2 years Immediately when transferred to work stream EOCY + 1 Year EOCY + 1 Year Immediately when transferred to work stream EOCY+ 6 Years EOCY +1 Year EOCY +2 Years	Head of Internal Audit Governance Manager Exec Support Head of Communications Business Support Lead Business Support Lead Governance Manager Casework Manager Business Support Lead Head of Communications Engagement Manager Safeguarding Advisor

4. LEGAL, CONTRACTS AND GRANTS

	Function	Records	Retention	Information Asset Owner/ Information Asset Administrator
A	Litigation	Correspondence Criminal and civil case files	6 years after last action unless minors then 7 years after their 18 th Birthday	Chief Executive
B	Advice	Correspondence	3 years	Chief Executive
C	Agreements	Service level agreements	6 years after agreement expires	Chief Executive
D	Contract development (ordinary)	Tender specification	6 years after terms have expired	Head of Commissioning
E	Contract development including PFI (under seal)	Tender specification and related documents	12 years after terms have expired	Head of Commissioning
F	Tenders	Tender envelope	1 year after start of contract	Head of Commissioning
G	Evaluation of tenders (ordinary)	Evaluation criteria Successful tender document	6 years after terms have expired	Head of Commissioning
H	Evaluation of tenders (under seal)	Evaluation criteria Successful tender document	12 years after terms have expired	Head of Commissioning
I	Post tender negotiation	Minutes Correspondence	1 year after terms of contract have expired	Head of Commissioning
J	Asset acquisition/disposal (non-land, see section 7)	Legal docs relating to purchase/sale Leases Tender documents	12 years from when terms expire	Treasurer
K	Grants (including Safer Communities Fund, Innovation/PEG funds, Community Safety Funds)	Grant agreements, contracts, correspondence, performance monitoring, successful and unsuccessful SCF applications Statements/accounts Decisions	EoFY+6 years after terms have expired Permanent (on website)	Head of Department Responsible for Fund
L	Insurance Policies	Insurance policies relating property & pecuniary risks Insurance policies relating third party liability risks (Employers Liability and Public Liability)	Destroy 7 years after terms expire Destroy 40 years after terms expire	Treasurer

5. HUMAN RESOURCES

	Function	Records	Retention	Information asset Owner/ Information Asset Administrator
A	Personnel administration	Establishment lists Personnel files	Permanent Destroy 6 years from leaving date	Business Support Lead
B	Employee relations	Agreements Correspondence re. Formal negotiations Correspondence re minor & routine matters Agency staff records Staff Surveys	Permanent Destroy 6 years from leaving date 2 years 2 years from leaving date 18 months	Business Support Lead
C	Disciplinary & grievance investigations	Oral warning Written warning Final warning Disciplinary records Grievance records Correspondence and notes	6 months 1 year 18 months Destroy 6 years form last action Destroy 6 years form last action Destroy 6 years form last action	Business Support Lead
D	Medical records	Medical examinations Adjustment to work examinations	Add to personal file	Business Support Lead
E	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	Business Support Lead
F	PDR	Probation reports Performance reports & plans	EoCY+6 years OR review annually upon leaving	Business Support Lead
G	Staff leave monitoring	Sickness records Leave records	Review annually on case by case basis Review annually on case by case basis	Business Support Lead
H	Staff termination or employment	Resignation, redundancy, dismissal Death or retirement	Add to personal file	Business Support Lead
I	Register of interests for staff		Permanent	Business Support Lead
J	Vetting	A scanned copy of all applications is retained by the WYP Vetting Unit. There is no requirement to retain the original paper copy once vetting is complete. The timescales reflect the length of time the vetting records are retained by the WYP Vetting Unit. Vetting – Contractor Vetting Failed	 End of Contract + 1 Year EOCY + 6 Years	Business Support Lead

	Vetting OPCC Colleagues	Destroy 6 years from leaving date	
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6. FINANCIAL MANAGEMENT

	Function	Records	Retention	Information Asset Owner/ Information asset Administrator
A	Annual reports	Annual statement of accounts	Permanent	Treasurer
B	Internal Audit	Internal Audit Reports - main financial & subsidiary systems, risk based audits & support audits. Follow up audits Accompanying work papers Reports/papers used in the course of a fraud investigation	Destroy after six years or on completion of next full audit. Destroy on full implementation of recommendations or completion of follow up audit Destroy after 3 years or on completion of next full audit. 6 years after legal proceedings are complete	Head of Internal Audit
C	Finance reports	Quarterly budget reports Working papers and system reports	Destroy when admin use complete	Governance Manager
D	Approvals/purchase	Purchase/sales order	EoFY+6 years	Business Support Lead
E	Expenditure	Invoices/receipts Bank statements Vouchers/ledger	EoFY+6 years	Business Support lead
F	Payroll	Claim forms Pay / tax records Summary pay reports	EoFY+6 years Destroy after admin use	Governance Manager
G	Budget setting	Final annual budget including Home Office grant notification Draft budgets and estimates Quarterly budget reviews	Permanent Destroy 2 yrs after budget set Destroy after following yrs budget adopted	Treasurer
H	Register of staff gifts and hospitality		EoFY+6 years	Governance Manager
I	Requests for financial assistance	Correspondence and agreements	EoCY+6 years after last action	Casework Manager
J	Treasury Management	Reports Investment and borrowing Decisions MRP calculations Bank transactions and approvals	EoFY+6 years	Treasurer

		Interest and revenue balance calculations Related Party Transactions		
K	Banking	Setting up accounts, money market funds	EOFY + 6 years after closure of accounts	Treasurer

7. PROPERTY AND LAND MANAGEMENT

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

8. GENERAL

	Function	Records	Retention	Information Asset Owner/ Information Asset Administrator
A	Health & safety	Risk assessments Accident books/RIDDOR correspondence and fire certificates	EOCY +6 years	Business Support Lead
B	Government Department circulars	Statutes APA/APCC Circulars	EOCY + 3 years	Head of Policy & Delivery

10. DELIVERY & VIOLENCE REDUCTION UNITS

	Function	Records	Retention	Information Asset Owner/ Information Asset Administrator
A	VRU needs assessment & response strategy	Home Office requirement – anonymous analysis of WYP data included in needs assessment and strategy response Raw data including personal data, special category and criminal data from WYP Corvus	EoFY+6 years Data deleted once analysis is completed and approved	VRU Director
B	Independent analysis of criminal offence data by the OPCC Research Manager to the PCC and to Domestic and Sexual Abuse Board.	Specific reports downloaded from Corvus including personal data, special category and criminal data Anonymous analysis of WYP data included in reports to PCC and various OPCC board	18 months from download EoFY+6 years	Head of Policy & Delivery
C	Core OPCC Needs Assessment	Data Analysis Strategic Assessment	Permanent	Head of Policy & Delivery