



**RETENTION AND DISPOSAL SCHEDULES**

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## 1. OFFICE OF THE POLICE AND CRIME COMMISSIONER BUSINESS

Function	Records	Retention	Statutory Provisions /Authority	Method of Disposal
Appointment of Chief Constable	Advertisements, Application Forms, Interview Reports	2 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Personnel Files	6 years from date of last pension payment	Common Practice	
Audit Committee meetings	Minutes, agendas, reports, indexes	Permanent	Common Practice	Archive  E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Draft and audio minutes	Destroy once minutes are formally approved	Common Practice	
	Background papers	4 years from date of production at meeting	Common Practice	
	Terms of reference Membership	Until superseded	Common Practice	
Complaints against the Chief Constable	Correspondence	3 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Complaints and enquiries directed to the OPCC	Correspondence, summary reports, details of investigations	3 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Corporate planning and reporting	Police and Crime Plans Strategic Plans Annual Reports	Permanent	Common Practice	Archive
Dismissal of the Chief Constable	Resignation, redundancy, dismissal, death, retirement	6 years after termination or, if pension paid, 6 years after last pension payment	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED

Employment Tribunals	Cases	6 years after last action	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
External Meetings (where the OPCC does not own the record)	Minutes, agendas and reports	3 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Independent Custody Visiting Scheme	Panel minutes, agendas, reports	2 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Visiting reports, rotas, Panel contact details	1 year	Common Practice	
	Personnel files	On termination of membership	Common Practice	
	Scheme/handbook	Until superseded	Common Practice	
	Complaints against Visitors	On termination of membership	Common Practice	
	Newsletters	2 years	Common Practice	
	Expense Claims	6 years from termination of membership	Common Practice	
Independent Members serving on Police Misconduct Panels	Personnel files	Permanent	Common Practice	Archive
	Expense Claims	6 years from termination of membership	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Scheme/handbook	Until superseded	Common Practice	
	Complaints against Independent members	Permanent	Common Practice	Archive

Partnership, agency and other meetings (where the OPCC owns the record)	Minutes, agendas and reports	Permanent	Common Practice	Archive
Police Appeal Tribunals	Cases	Permanent	Common Practice	Archive
Statutory Inspections, reviews and external audit reports	Reports	Permanent	Common Practice	Archive
Statutory returns	Reports to Central Government	7 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Working Groups / Project Boards	Minutes, agendas and reports	3 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED

**2. POLICE AND CRIME COMMISSIONER/DEPUTY POLICE AND CRIME COMMISSIONER**

<b>Function</b>	<b>Records</b>	<b>Retention</b>	<b>Statutory Provisions /Authority</b>	<b>Method of Disposal</b>
Appointment	Personnel Files	Permanent	Common Practice	Archive
	Advertisements, application forms, interview notes	2 years after date of appointment	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Legislation/national guidance	until superseded	Common Practice	
Conduct	Complaint Cases	Permanent	Common Practice	Archive
Payments	Salary and allowances	6 years from termination of membership	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Registers of Interests, Gifts and Hospitality	Register of Interests Register of Gifts and Hospitality	Permanent	Common Practice	Archive

### 3. MANAGEMENT AND ADMINISTRATION

Function	Records	Retention	Statutory Provisions /Authority	Method of Disposal
Association of Police and Crime Commissioners (APCC) Circulars	Circulars	Permanent	Common Practice	Archive
Diaries and calendars	Electronic and manual diaries and calendars	3 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Enquiries – Other OPCCs and general	Routine responses to enquires	1 year	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
General correspondence	Correspondence – minor and routine	1 year	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Home Office Circulars	Circulars	Permanent	Common Practice	Archive
Information Management	Filing indices	Permanent	Common Practice	Archive
	Records of transfers to archives	12 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Summary of responses to enquiries Disposal records Reports/correspondence on OPCC action	6 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Routine responses to enquiries	2 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	General Correspondence/emails and faxes	Archive for 1 year – destroy if no further use. No file should remain open for more than 5 years and	5 year rule specified in Code of Practice on Records Management under s46 Freedom of	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED

		may be closed at any time within the period based on monitoring of usage and additions. If closed and new activity begins, a new volume of the file should be created and the retention period of the old volume be brought in line with the new volume.	Information Act 2000.	
Marketing	Developing and promoting OPCC events	2 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Information about the OPCC	When superseded	Common Practice	
Media Relations	Media reports Media releases	3 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Newsletter	OPCC Newsletter	1 year	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Office Management	Contracts with suppliers	3 years from termination of contract	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Policy Development	Policies Instructions/Rules/Procedures Organisational Charts Financial and Contract Regulations	Permanent	Common Practice	Archive
	Routine responses on policy or procedures (printed material, letters)	2 years after admin use is concluded	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED

Policy/strategy review	Reports and supporting documentation	5 years from closure		E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Publications	The process of designing and setting information for publication	3 years from the last action	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	The published work of the OPCC	Destroy after administrative use is concluded. Note one copy from the initial print run should go directly to the archive.	Common Practice	
Public Consultation	Consultation on development of significant policies	5 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Consultation on development of minor policies	1 year	Common Practice	
	Consultation meeting notes, records, correspondence, minutes, supporting papers and correspondence	2 years	Common Practice	
Quality and Performance	OPCC Inspection/ Best Value Review reports	5 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Unstructured records	Records that do not support a business process i.e. there is not an existing place for them in a filing structure and none will be created. This applies to filing structures for paper and electronic formats including e-mails.	Destroy as soon as use has ceased	Local Government Act 1972 – Access to information for working papers as background to reports to Committee	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Working papers which lead to a final			



	report (unless report is submitted to Committee – in which case papers should be available for 6 years in line with availability of the minutes for public inspection)			
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#### 4. LEGAL AND CONTRACTS

Function	Records	Retention	Statutory Provisions /Authority	Method of Disposal
Agreements	Service level agreements with the OPCC	6 years after agreement expires	Common Practice. Depends on value of agreement. Mainly to do with agreements between public bodies. Not in regard to contracts.	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Asset acquisition/disposal	Legal docs relating to purchase/sale Leases	6 years if under £50,000	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Tender documents	12 years if over £50,000	Common Practice	
Contract development (ordinary)	Tender specification	6 years after terms have expired	Statutory	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Contract development (under seal)	Tender specification	12 years after terms have expired	Statutory	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Conveyance	Conveyance files	12 years after closure.	Statutory	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Evaluation of tenders (ordinary)	Evaluation criteria Successful tender document	6 years after terms have expired	Statutory	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Evaluation of tenders (under seal)	Evaluation criteria Successful tender document	12 years after terms have expired	Statutory	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED

Legal advice	Correspondence Fees	3 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Litigation	Correspondence Criminal and civil case files	7 years after last action	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Post tender negotiation	Minutes Correspondence	1 year after terms of contract have expired	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Tenders	Tender envelope	1 year after start of contract	Statutory	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Unsuccessful tender documents	Tender documents quotations	1 year after start of contract.	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED

**5. HUMAN RESOURCES**

<b>Function</b>	<b>Records</b>	<b>Retention</b>	<b>Statutory Provisions /Authority</b>	<b>Method of Disposal</b>
Appointment of Statutory Officers	Vacancies and applications records Interview notes prospective staff Records Registers of applicants Unsuccessful application records	2 years after date of appointment	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Disciplinary and Grievance investigations (proved)	Disciplinary records Grievance records	Oral warning – 6 months Written warning – 1 year Final warning – 18 months Dismissal – after determination of all internal and external appeals – 2years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Disciplinary and Grievance investigations (unproved)	Disciplinary records Grievance records	Destroy immediately after appeal	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Employee relations	Agreements  Correspondence re Formal negotiations Correspondence re minor and routine matters	Permanent  2 years	Common Practice	Archive  E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Equal Employment Opportunities	The process of investigation and reporting on specific cases to ensure that entitlements and obligations are in accordance with agreed Equal Employment Opportunities guidelines policies.	5 years after action completed	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED

Medical records	Medical examinations Adjustment to work examinations	75 years after DOB	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
PDR	Probation reports Performance reports and plans	5 years after action completed	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Personnel administration	Establishment lists	Permanent	Common Practice	Archive
	Personnel files	Destroy 6 years from date of last pension payment/leaving date		E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Recruitment – the selection and appointment of an individual for an established position	Advertisement, application forms, references, interview reports	1 year after appointment made.	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Vetting checks and associated documentation	Positive outcomes – 2 years after date of check. Negative outcomes – 1 year after date of check.	Common Practice	
Staff leave/Sickness monitoring	Sickness records Leave records Flexi cards	2 years after action completed	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Staff retention	Financial reward	Destroy 7 years after action completed	All records relating to actual payments are dealt with under Finance	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Staff termination	Resignation, redundancy, dismissal, death or retirement	6 years after termination or, if pension paid, 6 years after last pension payment	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED

## 6. FINANCIAL MANAGEMENT

Function	Records	Retention	Statutory Provisions /Authority	Method of Disposal
Annual reports	Annual Statement of Accounts	Permanent	Common Practice	Archive
Approvals/process for purchase	Purchase/sales order	7 years after end of financial year	Statutory	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Asset Acquisition and Disposal	Management of the acquisition (by financial lease or purchase) and disposal (by sale or write off) process for assets	6 years, if under £50,000 or 12 years if over £50,000, after all obligations / entitlements are concluded	Statutory	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Asset monitoring and maintenance	Asset registers	7 years after the end of the financial year	Statutory	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Inventories Stocktaking	2 years after admin use	Common Practice	
	Acquisition & disposal reports Service/maintenance records	7 years after sale or disposal	Statutory	
Budget setting	Final annual budget	Permanent	Only final version of annual budget needs to be kept	Archive
	Draft budgets and estimates	2 years after budget set	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Quarterly budget reviews	Destroy after following years budget adopted	Common Practice	

Expenditure	Invoices/receipts Bank statements Vouchers/ledger Write offs of public monies	6 years after end of financial year	Statutory	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Processes to balance and reconcile financial accounts	2 years after admin use is concluded	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Finance reports	Quarterly budget reports Working papers	Destroy when admin use complete	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Internal Audit	Internal Audit reports – main financial and subsidiary systems Value for money studies Working papers	Destroy on completion of next full audit	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Follow up audits	Destroy on full implementation of recommendations or completion of follow-up audit Destroy on completion of next full audit	Common Practice	
Loans	Loan files (borrowing money to enable authority to perform its functions and exercise its powers)	Destroy after the loan has been repaid	Statutory	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Loans register/summary management of loans	Permanent	Common Practice	Archive

Payroll	Claim forms Pay/tax records Summary pay reports	7 years after the end of the financial year	Statutory	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
	Non accountable processes relating to payment of employees	Destroy after admin use	Common Practice	



**7. PROPERTY AND LAND MANAGEMENT**

<b>Function</b>	<b>Records</b>	<b>Retention</b>	<b>Statutory Provisions /Authority</b>	<b>Method of Disposal</b>
Insurance	Insurance policies Correspondence	7 years after terms expire	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Management of buildings of special interest	Project specification Plans Certificates of approval	Permanent	Common Practice	Archive
Property acquisition	Plans	Life of property plus 12 years	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Property disposal	Legal documents Survey reports Tender documents Conditions of contracts	15 years after all obligations end	Common Practice	E-copy – delete Hardcopy – RESTRICTED/OFFICIAL SHRED
Property inventories	Inventories	Permanent	Common Practice	Archive

8. GENERAL

Function	Records	Retention	Statutory Provisions /Authority	Method of Disposal
Freedom of Information requests where exemptions apply, complaints or appeals are made	<p>Requests for information dealt with under the provisions of the Freedom of Information Act 2000 where:</p> <p>The records are subject to exemptions (partially or wholly),</p> <p>A Public Interest Test has been formally applied,</p> <p>A complaint has been made to OPCC about the application of exemptions or handling of the request,</p> <p>A complaint has been made to the Information Commissioner about the application of exemptions or the handling of the request</p>	<p>The request itself, associated records, and any records to which the request applies should not be destroyed until LPA is satisfied that requestor does not wish to pursue an appeal or the appeal process has been exhausted.</p> <p>The documentation should remain current for 1 year from the last action, then closed for 1 further year, then destroyed if no further activity has occurred.</p> <p>Should an activity occur within that period, the documentation should become current again.</p>	<p>Freedom of Information request (not routine);</p> <p>Correspondence with requestor/Information Commissioner;</p> <p>Correspondence in locating records;</p> <p>Records of public interest tests and exemptions decisions;</p> <p>Details of records relating to the request (references, titles, locations, owners).</p>	<p>E-copy – delete</p> <p>Hardcopy – RESTRICTED/OFFICIAL SHRED</p>
Health and Safety	<p>Risk assessments</p> <p>Accident books/RIDDOR</p> <p>correspondence and fire certificates</p>	<p>Destroy after 3 years</p>	<p>Common Practice</p>	<p>E-copy – delete</p> <p>Hardcopy – RESTRICTED/OFFICIAL SHRED</p>

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