

Office of the Police and Crime Commissioner for Humberside

Retention Policy

Policy Statement

The Office of the Police and Crime Commissioner (OPCC) for Humberside will ensure that information is not kept for longer than is necessary, and will retain the minimum amount of information that it requires to carry out its statutory functions.

Aims and Objectives

It is recognised that information is a vital asset of the OPCC, which depends on reliable, up-to-date information systems to support the work that it does and the services provided to the citizens of Humberside. This policy and standards will help 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 legal and regulatory requirements, including the Freedom of Information Act 2000, the Data Protection Act 1998 and the Environmental Information Regulations.
- Save employees' time and effort when retrieving information by reducing the amount of information that may be held unnecessarily.
- 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.

Record Retention

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 in whatever format.

Aside from 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 should be consulted.

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 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- out of date distribution lists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
- e-copies of documents where a hard copy has been printed and filed

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

PCC Business, Management and Administration		
Function	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	3 years
Working Groups/Steering Groups	Minutes, agendas and reports	3 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	5 years
Appointment of Chief Constable	Advertisements, application forms, interview reports Personnel Files	2 years 6 years after termination
Dismissal of Chief Constable	Resignation, redundancy, dismissal, death, retirement	6 years after termination of employment
Complaints	Correspondence, summary reports, details of investigations	5 years
Independent Custody Visiting	Minutes, agendas, reports, registers of visits, custody visitor details Handbook	3 years Until superseded
Corporate Planning and Reporting	Police and Crime Plans, Strategy Plans, Annual Reports	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	Until superseded
Ethical Framework	Code of conduct Register of interests, register of gifts and hospitality, Commissioner's oath	2 years after period of appointment ends Permanent

Allowances/Expenses	Claim forms, letters	3 years after period of appointment ends
Policy Development	Policies, procedures, joint protocols	Until superseded
Public/Partner Consultation	Forum notes, records, questionnaires, correspondence, supporting papers	3 years
Information Management	Filing indices, records of transfer to archives, disposal records Routine correspondence with OPCC	Permanent 2 years
Media Relations	Media reports, press releases	3 years
Marketing	Developing and promoting OPCC events Information about the OPCC	2 years Until superseded
Office management	Contracts with suppliers	3 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 3 years
Freedom of Information Act requests	Requests received and responses	5 years
Unstructured Records	Records that do not support a business process ie 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.
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	3 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 6 years if under £50,000 Destroy 12 years if over £50,000
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)	6 years after individual leaves employment
Staff recruitment	Advertisements, applications forms, interview notes, references	(Unsuccessful) 6 months (Successful) 6 years after end of employment
Appointment of Members (Audit Committee, Misconduct Panels)	Personnel files	4 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	6 years after individual leaves employment

Staff leave monitoring	Leave records, flexi sheets	2 years
Staff termination	Resignation, redundancy, dismissal, death or retirement	6 years after termination or, if pension paid 6 years after last pension payment
Police Appeals Tribunals	Correspondence, reports, agendas, minutes	6 years
Business Interest Appeals	Appeals in relation to business interests	5 years
Finance		
Annual reports	Annual statements of accounts	Permanent
Internal inspections, audits and reports	Internal audit reports	6 years
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 6 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 Destroy 2 years after budget set
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	5 years after end of financial year