



**POLICE & CRIME  
COMMISSIONER**

Serving Hampshire  
Isle of Wight  
Portsmouth  
Southampton

## Record Retention and Disposal Policy

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## **1. Introduction to the Record Retention and Disposal Policy**

- 1.1 The Police and Crime Commissioner is committed to ensuring records held by the organisation are retained for as long as they are needed in a secure manner, and are destroyed in an appropriate manner at a suitable time.
- 1.2 This policy and associated schedule sets out the length of time that records are held by the organisation, the reasons why they are held for this time, and the action taken when the prescribed time limit has been reached for retention.

## **2. Policy intention:**

- 2.1 The purpose of this policy is to provide guidance and direction on the retention and disposal of information held by the Office of the Police and Crime Commissioner.
- 2.2 It intends to provide a framework from which staff of the organisation can make decisions about what documents it can retain and for what length of time.
- 2.3 It also intends to reassure the public that the organisation is complying with its obligations under the Data Protection Act 2018 and associated legislation.

## **3. Overview:**

- 3.1 This policy applies to all staff within the Office of the Police and Crime Commissioner, to agency, associated and affiliated workers, and to its volunteers. It incorporates all relevant documents and records (recorded information) whatever the medium or technology used to create and store it and whether it originates from within the organisation or from outside. It also covers documents and records stored on behalf of the Office of the Police and Crime Commissioner by other organisations acting on our behalf, such as the Shared Service Partnership.
- 3.2 As well as complying with the requirements of the Data Protection Act 2018 and the Freedom of Information Act 2000, there are benefits to the organisation to having a retention policy and schedule. Documents and records of continuing value are identified and can be managed appropriately, and those that cease to have any value can be disposed of efficiently. A policy provides clear instructions and definitive time periods, ensuring consistency across the organisation.
- 3.3 Further benefits of a policy and schedule are that it avoids unnecessarily clogging up server space, enabling it to run more efficiently. This in turn makes it quicker and easier to find information if required to do so under the Freedom of Information Act.

## 4. Roles and responsibilities

- 4.1 While the Police and Crime Commissioner is the Data Controller registered with the Information Commissioner's Office, day-to-day responsibility for compliance with this policy rests with the Chief Executive. Such responsibility may be delegated to other members of the Senior Management Team as appropriate.

## 5. Disposal

- 5.1 Disposal can be achieved by a range of processes:

- Confidential waste service
- Deletion of electronic files
- Migration of document or file to the Hampshire Records Office

- 5.2 Confidential waste bins are located throughout the office and are emptied and disposed of via the Facilities Management contract. There is also a shredder on the first floor of the office.

- 5.3 To arrange for a transfer of hard copy records to the Hampshire Records Office for permanent archiving, please speak to the Acting Head of Governance and Policy.

## 6. Retention periods

- 6.1 Many of the retention periods outlined in the attached schedule have been determined by taking into account legislation which, either directly or indirectly, imposes minimum retention periods. They include:

- **Tax legislation:** Minimum retention period for certain financial records are imposed by statutes such as the VAT Act 1994, the Taxes Management Act 1970 and Income Tax Regulations 2003 and includes all information relevant to the tax position.
- **Statutory Registers:** Various local government statutes require registers to be kept of certain events, notifications, or transactions. It is implicit within such legislative requirement that these records be maintained on a permanent basis, unless the legislation concerned stipulates otherwise.
- **Local Audit and Accountability Act 2014** – the duty to provide documents and information to the auditors, which it appears necessary to enable them to discharge their functions under the Act.
- **Health and Safety Acts and Regulations:** There is a raft of legislation under Health and Safety that requires the retention of records which include accident records, risk assessments, working time opt out forms, RIDDOR reports, training, staff consultation etc.

- **Financial Acts and Regulations:** Various legislation require the retention of financial information including accounts, financial statements, audit reports.
- **Limitation Act 1980:** Prescribes time limits for the commencement of different categories of legal actions, and hence encompasses contracts including employment contracts, training records, particulars of employment, changes to terms and conditions.
- **Personnel/Human Resource legislation:** various legislation requires the retention of records including working time records, statutory maternity pay records, retirement benefits records, statutory sick pay records, calculations, certificates and self-certificates.

6.2 Other relevant legislation includes:

- **The Data Protection Act 1998** which states that “*personal data processed for any purpose shall not be kept for longer than necessary.*”
- **Public records Act 1958** imposes a duty on public bodies to make proper arrangements for the identification, safeguarding and transfer of records of historical interest to the National Archives.

6.3 For some documents and records there is national guidance indicating a retention period, including:

- **CIPD Retention of personnel and other related records:** Specifies retention periods for job application forms/CVs, references, job interview notes, etc.
- **Lord Chancellor’s Code of Practice** on the Management of Records under Freedom of Information
- **The National Archives: provides** best practice in records management and transfer, and information re-use.

This list is not exhaustive but represents legislation that most often applies.

6.4 Where legislation is silent on retention periods, we have taken in consideration the retention periods detailed in the National Police Chiefs Council National Guidance on The Minimum Standards for the Retention and Disposal of Police Records, and the retention policy of Hampshire County Council, who provide some support services to the organisation.

Bus area code	Description	Record	Retention Period	Action	Legal, regulatory or other reason for retention / disposal
CFO	Audit	Annual Governance Statements Annual Audit letters	Permanent	Archive (electronic)	Archiving purposes in the public interest
CFO	Audit	Records documenting the conduct and results of financial audits, and action taken to address	Last action of audit + 6 years	Destroy	Limitation Act 1980 c. 58
CFO	Audit	Records documenting the audit of accounts: correspondence, audit notices.	Current financial year + 1 year	Destroy	Business need
CFO	Audit	Audit reports (including interim) where these have included the examination of long-term contracts.			
CFO	Audit	Terms of reference	Minimum – on completion of reviews (ie when all agreed actions have been implemented Maximum – 3 years	Destroy	
CFO	Audit	Internal audit guides	Superseded	Destroy	n/a
CFO	Audit	Local auditing standards	Superseded	Destroy	n/a

CFO	Financial Management	Medium term financial strategy	Superseded + 6 years	Review	n/a
CFO	Financial Management	Annual budget preparation working papers	Current financial year + 1 year	Destroy	Business need
CFO	Financial Management	Final budget	Permanent	Archive (electronic)	n/a
CFO	Financial Management	Records monitoring expenditure against budget and action taken to deal with variances	Current financial year + 1	Destroy	Business need
CFO	Financial Management	Control year-end tabulations; End of year summaries; quarterly summaries.	Current year + 6 years	Destroy	n/a
CFO	Financial Management	Chartered Institute of Public Accountancy, estimates and actuals	Permanent	Archive (electronic)	Auditor Policy
CFO	Financial Management	Annual statement of accounts	Permanent	Archive	Auditor Policy
CFO	Financial Management	Accounts – receivable accounts	Current year + 6 years	Destroy	Auditor Policy
CFO	Financial Management	Accounts- statements of accounts rendered and payable; accounts outstanding and outstanding orders	Current year + 6 years	Destroy	n/a

CFO	Financial Management	Banking records.	Current year + 6 years	Destroy	Financial Services Act 1986, Companies Acts 1985 and 1989, Limitation Act 1980 c58, Taxes management Act 1970 c9
CFO	Financial Management	Cash books and sheets	Current year + 6 years	n/a	Auditor policy
CFO	Financial Management	Creditor and debtor history, lists and reports.	Current financial year + 6 years	n/a	Limitations Act 1980
CFO	Financial Management	Invoices	Current year + 6 years	n/a	
Commissioning	Grant management	Records documenting Grant provision	Current financial year + 6 years	Destroy	n/a
Commissioning	Grants (received)	Records documenting the expenditure funded partly or wholly by the Grant, invoices, receipts, minutes from meetings, accounts, deeds, and any other relevant documentation.	Current year + 6 years	Destroy	Home Office Grant conditions
Commissioning	Grants (awarded)	Records documenting the awarding of grants, invoices, receipts, minutes from meetings, accounts, deeds, and any other relevant documentation.	Current year + 6 years	Destroy	Home Office Grant conditions

Comms and Engagement	Consultation and Engagement	Records documenting consultation on development of significant policies / strategies / plans / decisions	Current year + 5 years	Destroy	n/a
Comms and Engagement	Consultation and Engagement	Records documenting consultation on development of minor policies/ strategies / plans	Current year + 2 years	Destroy	n/a
Comms and Engagement	Consultation and Engagement	Miscellaneous records such as consultation / engagement planning, briefings, publicity, meeting notes and actions, correspondence, supporting papers.	Current year + 2 years	Destroy	n/a
Comms and Engagement	Consultation and Engagement	Completed consultation forms	On entering into database	Destroy	n/a
Comms and Engagement	Media and public relations	Press releases		Review	n/a
Comms and Engagement	Media and public relations	Press cuttings	1 month	Destroy	n/a
Comms and Engagement	Media and public relations	Operational notes (notes to press about forthcoming events or conferences)	3 months	Destroy	n/a
Comms and Engagement	Media and public relations	Press conference reports / reviews	3 years	Destroy	n/a



Comms and Engagement	Media and public relations	Press reports digests	7 years	Destroy	n/a
Comms and Engagement	External communications	Newsletters and blogs	1 year	Destroy	n/a
Comms and Engagement	Media and public relations	Handbooks and guides to media/public	Superseded	Destroy	n/a
Comms and Engagement	Media and public relations	Reports on media/public relations	Minimum - 3 years	Review	n/a
Comms and Engagement	External communications	Image library records	End of business need	Destroy	n/a
Compliance	Policy and procedure	Organisation policy and procedures	Superseded + 6 years	Review	n/a
Compliance	Collaboration / Partnership agreements	S22A agreements	End of collaboration/ partnership + 6 years	Review	n/a
Compliance	Joint Audit Committee administration	TORs, rules, procedures and records documenting the development and establishment of the terms of reference, and the rules and procedures for the Committee.	Life of committee + 6 years	Destroy	Limitations Act 1980 c.58 s2 and 5
Compliance	Joint Audit Committee administration	Records documenting the appointment of members of the Committee.	Termination of membership + 6 years	Destroy	Limitations Act 1980 c.58 s5

Compliance	Joint Audit Committee administration	Records documenting the provision of training and development of Committee members including training undertaken by individual members.	Termination of membership + 6 years	Destroy	Limitations Act 1980 c.58 s5
Compliance	Joint Audit Committee administration	Records documenting the conduct of the business of the committee: agenda, minutes and supporting papers.	Life of committee + 6 years	Destroy	N/A
Compliance	Police Appeals Tribunals	Case files (complete)	Closure of file + 6 years	Destroy	Limitations Act 1980 c.58 s2
Compliance	Subject Access Request management	Applications and Disclosures	Current year + 1 unless further retention justified	Review	Data Protection manual of guidance Oct 2006 Part 1 Standards
Compliance	Information Management	Records relating to the control of record keeping systems	Superseded	Destroy	n/a
Compliance	Information Management	Documentation of record series (filing logs)	Until all records in the series have been destroyed.	Destroy	n/a
Compliance	Information Management	Information surveys, record audits	Maximum creation + 5 years.	Destroy	n/a
Compliance	Freedom of Information request management	FOI /EIR requests	Creation + 1 year	Destroy	n/a

Compliance	Freedom of Information request management	FOI appeals, reviews and ICO rulings	Closure + 5 years	Review	n/a
Compliance	Information Management	Disposal schedules and register of records destroyed	Permanent	Archive (electronic)	n/a
Compliance	Information Management	Review records (records of reviews undertaken in accordance with these retention schedules)	Maximum creation + 5 years	Destroy	n/a
Compliance	Information Management	Register of records destroyed	Permanent	Archive (electronic)	n/a
Compliance	Information Management	Lists of records transferred to the National Archives or place of deposit	Permanent	Archive (electronic)	n/a
Compliance	Information Management	Records relating to the security of records	Until disposal of the records covered	Destroy	n/a
Compliance	Information Management	Records of tracking and location systems	When system is superseded	Destroy	n/a
Compliance	Information Management	Information policies	Superseded + 6 years	Destroy	n/a
Compliance	Information Management	Guides, manuals and instructions on the management of records	Superseded + 6	Destroy	n/a
Compliance	Information Management	Information Sharing Agreements, Protocols, Memoranda of Understanding	Superseded or revoked + 6 years	Destroy	n/a
CFO	Financial Management	Ledger records	Current year + 6 years	n/a	
CFO	Financial Management	Petty cash records	Current financial year + 6 years	Destroy	Taxes management Act 1970 c9

CFO	Governance reporting	Annual governance statement	Permanent	Archive (electronic)	n/a
CFO	Precept (council tax)	Precept charges	Current financial year + 6 years	Destroy	n/a
Compliance	Complaints against the Chief Constable/PCC	Complaint case file	Termination of appointment / leaving date + 6 years.	Destroy	n/a
Compliance	Complaints against the Chief Constable/PCC	Register of complaints	Termination of appointment / leaving date + 6 years.	Destroy	n/a
Compliance	Complaints against the Chief Constable/PCC	Reports on particular complaints or on categories of complaints	Current year + 3 years	Destroy	n/a
Compliance	Complaints against the Chief Constable/PCC	Reviews / Appeals	Termination of appointment / leaving date + 6 years.	Destroy	n/a
Compliance	Governance Framework	Registers of Interests	Termination of appointment / leaving date + 6 years.	Destroy	n/a
Compliance	Governance Framework	Register of gifts and hospitality	Termination of appointment / leaving date + 6 years.	Destroy	n/a
Compliance	Governance Framework	Policy and Procedural records: Scheme of consent Delegation of functions	Superseded + 6 years	Review	n/a

Compliance	Governance Framework	Rules of procedure Financial Regulations Contract Standing Orders Policies	Superseded + 3 years		
Compliance	Governance Framework	Code of Conduct	Termination of appointment / leaving date + 6 years.	Destroy	
Compliance	Governance Framework	Scheme of Allowances and Expenditure for the Police and Crime Commissioner	Until superseded	Destroy	
Compliance	Register of Seals	Log of every sealing of a document (where the Common Seal of the PCC has been affixed to a document)	Permanent	Archive (electronic)	n/a
Compliance	Legal advice	Correspondence and fees	3 years	Destroy	n/a
Corporate Support	General enquiries and correspondence	Correspondence, reports, responses, enquiries.	End of term of office + 2 years	Destroy	n/a
Estate Mgt	Business continuity planning	Records documenting identified risks to the organisation, assessment of those risks, contingency, business continuity and recovery plans.	Superseded + 1 year.	Destroy	n/a

Estate Mgt	Building/land management	Documents/information relating to the ownership of buildings and land property plans and records of work etc.	Until the sale of the property	Review (Some police house / station documents are of historic interest and may be retained)	n/a
Estate Mgt	Building/land management	Leases - Buildings not owned by Police and Crime Commissioner	End or expiry of contract + 6 years	Destroy	n/a
Estate Mgt	Building/land management	Leases - sub-letting of Police and Crime Commissioner buildings -	End or expiry of contract + 1 year	Destroy	n/a
Estate Mgt	Building/land management	Other legal documents relating to the purchase / sale of assets	6 years (under £50,000) 12 years (over £50,000)	Destroy	n/a
Executive Office	Regional PCC meetings	Agendas, reports, minutes / notes	Life of organisation + 6 years	Destroy	
Executive Office	Diaries and calendars of office holders	Electronic and manual diaries and calendars	3 years or until end of appointment	Destroy	n/a
General	Strategic documents	Police and Crime Plan, associated strategies	Permanent	Archive (electronic)	Archiving purposes in the public interest

General	Annual Report	Annual Reports	Permanent	Archive (electronic)	Archiving purposes in the public interest
General	Departmental and team meetings	Agendas, minutes / notes	3 years from last action	Destroy	
HR	Public Interest Disclosure (whistle blowing investigations)	Records documenting the investigation, determination and resolution of an allegation made by a member of staff under the Public Interest Disclosure Act 1998.	Closure of case + 6 years	Destroy	Limitations Act 1980 c.58 s2 and s5
HR	Policies and Procedures	HR Policies	Superseded + 6 years	Review	n/a
HR	Recruitment	Application forms and interview notes (for unsuccessful candidates)	Completion of appointment + 6 months	Review	n/a
HR	Recruitment	Application forms (excluding equal opportunity monitoring forms) – successful candidates	Termination of employment + 6 years	Destroy	n/a
HR	Personnel records	Personnel files (not including compromise agreements)	Cessation of employment + 6 years	Destroy	n/a
HR	Personnel records	Compromise agreements and agreed forms of reference	Termination of employment + 40 years	Destroy	n/a
HR	Professional development and management	Induction checklist (personnel file)	Termination of employment + 6 years	Destroy	n/a

HR	Professional development and management	Records documenting the administration of induction or other training sessions, including feedback forms and analysis	Current year + 1 year	Destroy	n/a
HR	Professional development and management	PDR documents	Current year + 5 years	Destroy	n/a
HR	Professional development and management	Interim performance documentation (121 meeting notes)	Current year + 2 years	Destroy	n/a
HR	Discipline and misconduct	Grievances where allegations are unsubstantiated	Conclusion of investigation + 6 months (a note may be retained showing an investigation took place but allegation was unsubstantiated)	Destroy	n/a
HR	Discipline and misconduct	Grievances – record of investigation and outcome	Last action of investigation + 6 years	Destroy	Limitation Act 1980 c.58 S2



HR	Discipline and misconduct	Disciplinary – record of investigation where allegations are unsubstantiated	Conclusion of investigation + 6 months (a note may be retained showing an investigation took place but allegation was unsubstantiated)	Destroy	n/a
HR	Discipline and misconduct	Disciplinary – oral warning	Date of issue + 1 year	Destroy	Limitation Act 1980 c.58 S2
HR	Discipline and misconduct	Disciplinary – written and other formal warnings	Retain for period stipulated (usually date of issue + 1 year)	Destroy	Limitation Act 1980 c.58 S2
Compliance	Employment Tribunals	Employment Tribunals case files	Last action + 6 years	Destroy	Limitation Act 1980 c.58 S2
HR	Absence and leave	Sickness forms, Doctor's certificates / Statement of fitness for work (unrelated to industrial injury)	Current financial year + 3	Destroy	n/a
HR	Absence and leave	Time cards and annual leave records	Audit + 2 years	Destroy	Working Time Regulations 1998

HR	Absence and leave	Other leave records: compassionate, dependants, parental, special paid, unpaid, career break, fertility, TA and Rescue services, correspondence relating to excess carryover of annual leave)	Termination of employment + 6 years	Destroy	n/a
HR	Absence and leave	Risk assessments including those for expectant mothers	Termination of employment + 6 years	Destroy	n/a
HR	Absence and leave	Referrals to occupational health provider by self or manager	Last treatment + 10 years	Destroy	n/a
HR	Recruitment	Individual job descriptions and person specification	Termination + 6 years	Destroy	n/a
HR	Recruitment	Grading of individual jobs: outcomes	Superseded + 6 years	Destroy	n/a
Performance and Information	Independent Custody Visiting	Records documenting the findings of inspections (visit reports) and actions taken.	Last action + 3 years	Destroy	n/a
Performance and Information	Independent Custody Visiting	Panel minutes, agendas, reports	Current year + 1	Destroy	n/a
Performance and Information	Independent Custody Visiting	Policies, procedures, guidance	Superseded + 6 years	Destroy	n/a
Performance and Information	Independent Custody Visiting	Volunteer records – See relevant documentation types under HR, Training, Finance, Performance and Standards etc.		Destroy	
Performance and Information	Statutory Inspections (HMIC, HMRC etc)	Reports	Last action of audit + 1 year	Review	n/a

Performance and Information	Performance Management (OPCC)	Performance reporting	Current year + 3 years	Review	n/a
Performance and Information	Performance Management (OPCC)	Performance monitoring data and analysis	Current year + 3 years	Destroy	n/a
Procurement	Tenders and Contracts	ITTs, original tender, awarded contracts, records documenting contract management: variations, performance, disputes, termination notices, extensions.	Termination of contract + 7 years	Destroy	OJEU regulations
Procurement	Tenders and Contracts	Pre-Tender Documentation i.e. adverts and notices, expressions of interest, references, shortlist	Award of contract + 3 years	Destroy	OJEU regulations
Programme Office	PCC Decisions	Records documenting formal decisions taken by the PCC (including background papers)	Life of organisation + 6 years	Archive (electronic)	Limitations Act 1980 c.58 s 2
Programme Office	PCC Scrutiny by Police and Crime Panel	Reports to the PCP	Life of organisation + 6 years	Archive (electronic)	

Programme Office	Project management	Project initiation documents and supporting documentation (including business cases, scoping and planning documents.)	Approved projects - 10 years after completion. Rejected projects - 5 years after decision	Destroy	N/A
Programme Office	Project management	Records documenting the management of projects - e.g. project reports (such as stage assessments, quality reviews, highlight reports, briefings, minutes, GANTT charts), delivery plans, and workstreams.	Completion of project + 6 years	Destroy	n/a
Programme Office	Project management	Miscellaneous records such as: Copies of documentation from other projects, information on products, equipment; training courses; correspondence	End of business requirement	Destroy	n/a
Programme Office	Risk management, identification and assessment	Records documenting identified risks to the organisation, and assessments of those risks.	Superseded + 1 year	Destroy	n/a