



Cumbria Office of the Police and Crime Commissioner

Retention and Disposal Schedule

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Introduction

The Police and Crime Commissioner will ensure that information is not kept for longer than is necessary, and will retain the minimum amount of information they require to carry out their statutory functions. This policy supports the Police and Crime Commissioner's Publication Scheme, Plans and Strategies and is designed to provide clarity and consistency in records management.

The attached Schedule has been prepared to support the Police and Crime Commissioner in meeting their obligations under the Freedom of Information Act, and covers records and information from creation to destruction or retention, as appropriate. 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 on whatever format.

It is recognised that information is a vital asset of the Police and Crime Commissioner, who depends on reliable, up-to-date information systems to support the work that they do and the services provided to the public of Cumbria.

The objectives of the Schedule are to:-

- Assist in identifying records that may be worth preserving permanently.
- Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration.
- Provide consistency for the destruction of those records not required permanently after specified periods.
- To promote improved Records Management practices within the Office of the Police and Crime Commissioner.

Destruction of Records

Whenever there is the possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.

When records identified for destruction are destroyed, a register of such documents will be maintained. For any further information please contact:-

The Chief Executive
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Carleton Hall
Penrith
Cumbria
CA10 2AU
Telephone: 01768 217734
Email: commissioner@cumbria-pcc.gov.uk

Reviewing the Schedule

The Schedule prescribes retention periods for various types of documents and it is the intention that this Schedule will be reviewed on an annual basis.

1. DEMOCRATIC PROCESSES

<u>Committee and Board Meetings</u>			
<u>Ref. No.</u>	<u>Function Description</u>	<u>Retention Action</u>	<u>Example(s) of Record(s)</u>
1.1	The process of preparing business for the Police and Crime Commissioner's consideration and recording the discussion, debate and resolutions i.e. agenda, reports and minutes. (Meetings to include all formal Decision Meetings, Committee, Sub-Groups and Consultation Forums).	Retain for period of 6 years	Agenda. Minutes. Reports Background Documents. Action Sheets. Terms of Reference/Scheme of Delegation.
1.2	General correspondence arising from any of the above mentioned meetings.	Retain for period of 2 years after date of appropriate meeting.	Letters. Forms.
1.4	Process relating to the ethical framework of the Police Authority.	Retain for period of 2 years after period of appointment expires.	Code of Conduct. Code of Conduct Undertaking. Register of Interests. Register of Gifts and Hospitality.

2. MANAGEMENT AND ADMINISTRATION

<u>Ref. No.</u>	<u>Function Description</u>	<u>Retention Action</u>	<u>Example(s) of Record(s)</u>
2.1	Corporate planning and reporting activities of the Office of the Police & Crime Commissioner.	Retain for period of 5 years after adoption of Plan, Strategy, etc.	Annual Report. Policing Plan Corporate Plan
2.2	Activities that develop, performance policies, procedures, services strategies and structures for the Office of the Police & Crime Commissioner.	Retain for period of 5 years (destroy sooner if policy/ strategy is amended).	Reports. Background Documents. Presentations.
2.3	Process of monitoring and reviewing strategic plans and policies or procedure to assess their compliance with guidelines.	Retain for period of 5 years.	Reports. Briefing Notes.
2.4	Process of consulting with public, partners, etc., in the development of policies for the Police and Crime Commissioner.	Retain for period of 5 years.	Consultation Outcomes. Questionnaires. Reports.
2.5	Activities whereby standards, authorities, restraints and verifications are introduced and maintained to manage records/information effectively.	Retain for period of 5 years (destroy sooner if standard, authority, etc. is amended).	Records Management Policy Statement. Retention/Disposal Schedule.
2.6	Process that records the disposal of records.	Retain for period of 10 years.	Disposal Register.
2.7	Management of enquiries and complaints directed to the Police and Crime Commissioner.	Retain for period of 5 years.	Letters. Forms.
2.8	Management of routine correspondence with the Police and Crime Commissioner.	Retain for period of 2 years.	Letters. Circulars. Printed Material.
2.9	Process of monitoring/recording quality, efficiency, or	Retain for period of 7	Best Value Review.

	performance of the Police and Crime Commissioner.	years.	Performance Improvement Plan.
2.10	Process of assessing quality, efficiency or performance of the Police and Crime Commissioner	Retain for period of 7 years.	Assessment Reports.
2.11	Process of interaction with the media.	Retain for period of 3 years.	Press Releases.
2.12	Process of developing and promoting of campaigns/events.	Retain for period of 5 years (destroy sooner if strategy is amended).	Communications Strategy.
2.13	Management Services Reviews	Retain for period of 5 years.	Reports. Correspondence.
2.14	Independent Custody Visitor Reports	Retain for period of 6 years	Reports

3. LEGAL AND CONTRACTS

<u>Ref. No.</u>	<u>Function Description</u>	<u>Retention Action</u>	<u>Example(s) of Record(s)</u>
3.1	Process of managing, undertaking, or defending for or against litigation on behalf of the Police and Crime Commissioner.	Retain for period of 7 years (after last action in case).	Criminal Case Files. Civil Case Files. Employment Tribunal Files. Medical Appeal Files. Letters. Forms.
3.2	Process of providing legal advice on a point of law.	Retain for period of 3 years (after last action in case).	Counsel's Opinion. Reports. Briefing Notes.
3.3	Process of agreeing terms between organisations.	Retain for period of 6 years (after agreement expires).	Service Level Agreements.
3.4	Process of changing ownership of land or property.	Retain for period of 12 years after closure.	Copies (originals held by Constabulary)
3.5	Contract operation and monitoring.	Retain for period of 2 years after terms of contract have expired.	Service Level Agreements.

4. HUMAN RESOURCES

<u>Ref. No.</u>	<u>Function Description</u>	<u>Retention Action</u>	<u>Example(s) of Record(s)</u>
4.1	Process management systems that allow monitoring and management of Chief Constable appointments in Cumbria Constabulary.	Retain for period of 5 years after individual leaves employment.	Letters of Appointments. Letters of Acceptance. Medical Examination. Qualifications. Secrecy Undertakings. Employment Contracts.
4.2	Selection processes for Chief Constable appointments in Cumbria Constabulary.	Retain for period of 12 months after selection process.	Adverts. Application Forms. References. Interview Reports. Unsuccessful Candidates.
4.3	Processing of appeals against disciplinary and grievance investigations.	Retain for period of 6 years.	Agenda. Reports. Minutes.
4.4	Training/development for Office of the Police and Crime Commissioner staff.	Retain for period of 6 years after completion.	Individual Assessment Forms.
4.5	Selection processes for Office of the Police and Crime Commissioner staff.	Retain applications for period of 6 months from date of appointment of successful candidate after selection process if unsuccessful; retain notes made at interview for 6 months	Adverts Application Forms References. Interview Reports. Unsuccessful Candidates.

4.7	Office of the Police and Crime Commissioner staff personnel files	Retain for period of 6 years after departure; on reaching the 6 years check that the employee is still alive, aged over or under 65 and if there are any outstanding legal / injury issues that are ongoing. Name, position, collar number, last role, date appointed, date of leaving and reason for leaving will be stored on spreadsheet before destroying personnel file	Career details. Training history. Health declarations.
4.8	Police and Crime Commissioner and Office of the Police and Crime Commissioner staff travel and subsistence claims and authorisations (copies)	6 years	Completed claim forms.

5. FINANCIAL MANAGEMENT

<u>Ref. No.</u>	<u>Funding Description</u>	<u>Retention Action</u>	<u>Example(s) of Record(s)</u>
5.1	Process that consolidates financial transactions on an annual basis for corporate reporting purposes.	Retain for period of 2 years following closure of accounts.	Consolidated Annual Reports. Consolidated Financial Statements. General Ledger.
5.2	Process that supports and consolidates financial transactions on a periodic (less than annual) basis.	Retain until administrative use is concluded.	Consolidated Monthly/Quarterly Reports. Working Papers. Monthly External Statements. Creditor Listings and Reports. Debtor Listings and Reports.
5.3	Management of approvals process for purchases.	Retain for period of 7 years after end of financial year in which records created.	Arrangements for the Provision of Goods and Services.
5.4	Identification of the receipt, expenditure and write off of public monies.	Retain for period of 6 years after conclusion of financial year that record supports.	Allowances. Invoices. Cash Books. Receipts. Bank Statements. Journals. Vouchers.
5.5	Processes that balance and reconcile financial accounts.	Retain for period of 2 years after administrative use is concluded.	Reconciliation. Summary of Accounts.

5.6	Taxation Records.	Retain for period of 5 years after end of financial year in which records created.	Taxation Records.
5.7	Process involved in collection of National Insurance Number.	Retain for period of 2 years after member ceases to be a member of the Police Authority.	Notification and Input Records.
5.8	Process of finalising the Commissioner's annual budget.	To be retained permanently.	Annual Budget (only final version needs to be kept).
5.9	Process of developing the Commissioner's annual budget.	To be retained for period of 2 years after annual budget adopted.	Draft Budgets. Departmental Budgets. Draft Estimates. Precept Issued.
5.10	Process of reporting which examines the budget in relation to actual revenue and expenditure.	Retain until after next year's annual budget adopted by the Commissioner.	Quarterly Statements.
5.11	Activity of borrowing money to enable the Commissioner to perform its functions and exercise their powers.	To be retained for a period of 7 years after loan has been repaid.	Loan Files.
5.12	Summary management of loans.	To be retained permanently.	Loans Register.
5.13	Summary management reporting on overall assets of the Commissioner.	To be retained permanently.	Schedule of Acquisition. Annual Reports. Asset Register.
5.14	Management systems that allow monitoring and management of assets in summary form.	Retain for period of 7 years after conclusion of financial transaction that record supports.	Subsidiary Asset Registers.

5.15	Process of reporting and reviewing assets status.	Retain for period of 2 years after administrative use is concluded.	Inventories. Stocktaking. Surveys of Usage.
5.16	Management of the acquisition and disposal process for assets.	Retain for period of 6 years (if under £50,000) or 12 years (if over £50,000) after all obligations/entitlements are concluded.	Legal Documents Relating to Purchase/Sale. Particulars of Sale Documents. Tender Documents. Conditions of Contracts.

6. PROPERTY AND LAND MANAGEMENT

NOTE: All the Commissioners's Property and Land Management records are held by the Constabulary. The Commissioner only retains copies of conveyancing documents sent to it for– see Section 3, "Legal and Contracts", sub section 3.4.

<u>Ref. No.</u>	<u>Funding Description</u>	<u>Retention Action</u>	<u>Example(s) of Record(s)</u>
6.1	Reports to management on overall property of the Commissioner.	To be retained permanently.	Summary of Leased Property. Site Register. Register of Leases.
6.2	Management of acquisition process for real property.	To be retained for the life of the property (plus 12 years).	Plans.
6.3	Management of disposal process for real property.	To be retained for a period of 15 years after all obligations/entitlements are concluded.	Legal Documents. Particulars of Sale. Tender Documents. Condition of Contracts.
6.4	Summary management of insurance arrangements.	To be retained permanently.	Insurance Register.
6.5	Process of insuring officers, property, vehicles and equipment against negligence, loss or damage.	To be retained for a period of 7 years after terms of policy expired.	Insurance Policies. Correspondence.
6.6	Process that records insurance claims against the Commissioner or their officers.	To be retained for a period of 7 years after all obligations/entitlements are concluded (allowing for claimant to reach 25 years of age).	Claims Records. Correspondence.