



# 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 longer than 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:-

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Carleton Hall  
Penrith  
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CA10 2AU  
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## 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 a three year cyclical basis.

## 1. DEMOCRATIC PROCESSES

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
1.1	PCC and OPCC committee, panel and other meetings	Agendas, minutes, reports, background documents, action sheets, terms of reference, scheme of delegation	Retain for a period of 6 years	Process of preparing business for the PCC/OPCC's consideration, recording the discussion, debate and resolutions.  (Meetings to include all formal decision meetings, committees, sub-groups and consultation forums.)	Retention Guidelines for Local Authorities 2003
1.2		General correspondence arising from any of the above mentioned meetings	Retain for a period of 2 years after date of appropriate meeting		Retention Guidelines for Local Authorities 2003
1.3	Ethical framework of the Police & Crime Commissioner	Code of Conduct Code of Conduct Undertaking Register of Interests Register of Gifts and Hospitality Contact with Suppliers	Retain for a period of 2 years after period of appointment expires		Business Decision

## 2. MANAGEMENT, INFORMATION AND ADMINISTRATION

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
2.1	Corporate planning and reporting activities of the OPCC	Annual Report. Policing Plan Corporate Plan	Retain for period of 5 years after adoption of Plan, Strategy, etc.		PRSA 2011 Specified Information Order 2011/12/13
2.2	Process of consulting with the public, partners in the development of policies and plans for the PCC	Consultation Outcomes Questionnaires Reports	Retain for period of 5 years.		Business Decision PRSA 2011 Specified Information Order 2011/12/13
2.3	Activities whereby standards, authorities, restraints and verifications are introduced and maintained to manage records/ information effectively	Records Management Policy Statement Retention/ Disposal Schedule	Retain for period of 5 years (destroy sooner if standard, authority, etc. is amended)		Business Decision
2.4	Process of monitoring, assessing quality, efficiency or performance of the PCC	Reports Background Documents Presentations	Retain for period of 5 years (destroy sooner if policy/ strategy is amended)		Business Decision PRSA 2001 SIO 2011/12/13
2.5	Process of monitoring and reviewing strategic plans and policies or procedures to assess their compliance with guidelines	Reports Briefing Notes	Retain for period of 6 years		Business Decision
2.6	Process of monitoring, assessing quality, efficiency or performance of the Constabulary	Performance reports Assessment reports Presentations Annual Reports	Retain for period of 6 years.		Business Decision PRSA 2011 SIO 2011/12/13
2.7	Process of interaction with the media, developing and	Communications Strategy	Retain for 6 years (sooner if strategy is		Business Decision

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
	promoting of campaigns / events	Media releases	amended)		
2.8	Formally documented policies and procedures		Retain for 6 years after policy/ procedure taken out of service	Unless abstracted to support another process or for retention as part of audit records	Business Decision
2.9	Emails, documents on personal email accounts or folders		Delete as soon as practicable at the discretion of the sender & recipients of the emails involved	Should be retained if part of other work within the OPCC, eg Complaints, QSPI, funding, etc.	Cumbria Constabulary e-mail policy
2.10	Internal and External Correspondence	Emails Letters Forms Circulars Publications	Retain for period of 2 years	Correspondence falling into another category in this schedule, eg complaints, QSPI, must be retained accordingly.	Business Decision GDPR
2.11	Management of routine correspondence with the Police and Crime Commissioner.	Letters Circulars Printed Material	Retain for period of 2 years		Business Decision
2.12	Management of enquiries and complaints directed to the Police and Crime Commissioner, including public complaint reviews.	Letters Forms Investigation reports	Retain for period of 6 years.		Business Decision
2.13	OPCC/Management Service Reviews	Reports Correspondence	Retain for period of 6 years		Business Decision
2.14	Independent Custody Visitor	Visiting Report forms	Retain for period of 6		Business Decision

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
	Reports		years		
2.15	Information Security	Security incidents	Retain for 2 years from end of the calendar year of the incident		Business Decision
2.16	Scheduled Audits and reviews of information systems (and their users)	All types, eg Email, RESTRICTED (or above) databases, internet, telephones	Retain for 2 years from the end of the calendar year of the audit unless abstracted to support another process		Business Decision
2.17	Vetting Records	Confirmation of vetting for OPCC staff, volunteers or contractors	Retain for 6 years from leaving the organisation/ end of contract		Cumbria Constabulary Vetting Policy
2.18	FOI Requests	Completed requests	Retain for 2 years from conclusion of any appeal or complaint process		National Policing Guide to Publication Scheme Compliance
2.19	Subject Access Requests (SAR's)	Completed requests	Retain for 2 years from completion of response unless abstracted to form part of another process, eg complaint		Business Decision Data Protection Guidance
2.20	OPCC Strategic and Operational Risk Registers	Live Risks	Retain until risk is closed and decision documented		Business Decision
		Closed Risks	6 years (as for meeting minutes)		
2.21	Project Management	Ongoing Projects	Until the project is concluded	All papers relevant to delivery of the project	Business Decision

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
		Concluded Projects	Review for relevance and future value after 6 years	End Stage Report	

### 3. LEGAL AND CONTRACTS

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
3.1	Process of managing, undertaking, or defending for or against litigation on behalf of the Police and Crime Commissioner.	Criminal Case Files. Civil Case Files. Employment Tribunal Files. Medical Appeal Files. Letters. Forms.	Retain for period of 7 years (after last action in case).		Legal Department File Retention Guidelines based on Limitation Act 1980  Standing Orders relating to contracts
3.2	Process of providing legal advice on a point of law.	Counsel's Opinion. Reports. Briefing Notes.	Retain for period of 3 years (after last action in case).		Business Decision
3.3	Process for agreeing terms between organisations	Service Level Agreements	Retain for period of 6 years (after agreement expires)		Business Decision
3.4	Process of changing ownership of land or property.	Copies (originals held by Constabulary)	Retain for period of 12 years after closure.		Legal Department File Retention Guidelines based on Limitation Act 1980
3.5	Contract operation and monitoring.	Service Level Agreements.	Retain for period of 2 years after terms of contract have expired.		Standing Orders relating to contracts

## 4. HUMAN RESOURCES

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
4.1	Personnel Records: - OPCC Staff Independent Custody Visitors Volunteers Chief Constable Temporary Staff Contractors Committee or Panel members	Personnel Files	Retain for 6 years from date of leaving. Then destroy unless file abstracted in connection with another enquiry or issue (eg legal issues arising out of time with the OPCC)		Business Decision
4.2		Financial Details, including banking details, national insurance numbers, salary, payroll and pensions information	Retain for as long as required to support payroll and pension payments. Then destroy in line with the above retention timeframe.	Cumbria Constabulary hold these records as they carry out the function on behalf of the OPCC	Constabulary Business Decision guided by Data Protection legislation.
4.3		Unsuccessful applicants	12 months after date of decision being communicated to applicant		Business Decision
4.4		Identity cards	Delete/destroy on leaving the organisation		Business Decision guided by Data Protection legislation
4.5		IT Accounts	Delete/destroy on leaving the organisation		Business Decision guided by Data Protection legislation
4.6		Annual Leave cards	2 years from date of leaving		Business Decision
4.7		Medical/sickness records	2 years from date of leaving		Business Decision

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
4.8		Training/development record	6 years after person leaves the organisation		Business Decision
4.9		Travel and subsistence claims	6 years	Completed forms	Business Decision
4.10		Appeals against disciplinary and grievance investigations	Retain for 6 years		Business Decision
4.11		Selection processes for Chief Constable appointments	Process management systems that allow monitoring and management of Chief Constable appointments	6 years after the individual leaves employment	Letters of appointment/ acceptance, medical forms, qualifications, employment contracts

## 5. FINANCIAL MANAGEMENT

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
5.1	Process that consolidates financial transactions on an annual basis for corporate reporting purposes.	Consolidated Annual Reports Consolidated Financial Statements General Ledger	Retain for period of 2 years following closure of accounts.		Business Decision
5.2	Process that supports and consolidates financial transactions on a periodic (less than annual) basis.	Consolidated Monthly/Quarterly Reports Working Papers Monthly External Statements Creditor Listings & Reports Debtor Listings & Reports	Retain until administrative use is concluded		Business Decision
5.3	Management of approvals process for purchases.	Arrangements for the Provision of Goods and Services.	Retain for period of 7 years after end of financial year in which records created.		Business Decision
5.4	Identification of the receipt, expenditure and the write-off of public monies.	Allowances Invoices Cash Books Receipts Bank Statements Journals Vouchers	Retain for period of 6 years after conclusion of financial year that record supports.		Business Decision
5.5	Processes that balance and reconcile financial accounts	Reconciliation. Summary of Accounts.	Retain for period of 2 years after		

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
			administrative use is concluded		
5.6	Taxation Records.	Taxation Records	Retain for period of 5 years after end of financial year in which records created		Business Decision It is a HMIC requirement to hold records pertaining to VAT for 7 years (6 years plus the current year)
5.7	Process involved in collection of National Insurance Number	Notification and Input Records	Retain for period of 2 years after member ceases to be a member of the OPCC		Business Decision
5.8	Process of finalising the Commissioner's annual budget	Annual Budget (only final version needs to be kept)	To be retained permanently		PRSA 2011
5.9	Process of developing the Commissioner's annual budget	Draft Budgets. Departmental Budgets. Draft Estimates. Precept Issued	To be retained for period of 2 years after annual budget adopted		PRSA 2011
5.10	Process of reporting which examines the budget in relation to actual revenue and expenditure.	Quarterly Statements	Retain until after next year's annual budget adopted by the Commissioner		
5.11	Activity of borrowing money to enable the Commissioner to perform its functions and exercise their powers	Loan Files	To be retained for a period of 7 years after loan has been repaid		

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
5.12	Summary management of loans	Loans Register	To be retained permanently		
5.13	Summary management reporting on overall assets of the Commissioner	Schedule of Acquisition. Annual Reports. Asset Register	To be retained permanently		
5.14	Management systems that allow monitoring and management of assets in summary form	Subsidiary Asset Registers	Retain for period of 7 years after conclusion of financial transaction that record supports		
5.15	Process of reporting and reviewing assets status	Inventories Stocktaking Surveys of Usage	Retain for period of 2 years after administrative use is concluded		
5.16	Management of the acquisition and disposal process for assets	Legal Documents Relating to Purchase/Sale. Particulars of Sale Documents. Tender Documents. Conditions of Contracts	Retain for period of 6 years (if under £50,000) or 12 years (if over £50,000) after all obligations/entitlements are concluded.		
5.17	Management and reporting process for the Commissioning of Services	Procurement process Contracts/Grant agreements	Retain for period of 6 years		

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
5.18	Management and reporting process for grants and funding	Application forms Grant funding agreements	Retain for period of 6 years		

## 6. PROPERTY AND LAND MANAGEMENT

**NOTE: All the Commissioners' 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.**

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
6.1	Reports to management on overall property of the Commissioner.	Summary of Leased Property. Site Register. Register of Leases.	To be retained permanently.		Business Decision
6.2	Management of acquisition process for real property.	Plans.	To be retained for the life of the property (plus 12 years).		Legal Department File Retention Guidelines based on Limitation Act 1980 Standing Orders relating to contracts
6.3	Management of disposal process for real property.	Legal Documents. Particulars of Sale. Tender Documents. Condition of Contracts.	Retain for a period of 15 years after all obligations/ entitlements are concluded		Business Decision
6.4	Summary management of insurance arrangements.	Insurance Register.	To be retained permanently		Business Decision
6.5	Process of insuring officers, property, vehicles and equipment against negligence, loss or damage.	Insurance Policies. Correspondence.	To be retained for a period of 7 years after terms of policy expired.		Employers' Liability (Compulsory Insurance) Regs 1998

Ref N°	Information Type	Record Type	Retention Period	Additional Notes Concerning these Records	Primary Legislation or Guidance determining period of retention
6.6	Process that records insurance claims against the Commissioner or their officers.	Claims Records. Correspondence.	To be retained for a period of 7 years after all obligations/ entitlements are concluded (allowing for claimant to reach 25 years of age).		Business Decision