

POLICE AND CRIME COMMISSIONER FOR WEST YORKSHIRE

RECORD DISPOSAL PROCEDURE

The Commissioner is committed to operating in an open and transparent manner. The record disposal procedure is designed to support the Commissioner's corporate governance framework.

The purpose of this procedure is to:

- prevent the premature destruction of records
- provide consistency of preservation/destruction
- improve record management

Records should be retained for the periods shown in the attached schedule.

All 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 shredding / arranging for collection as confidential waste for destruction by the appropriate body and this should also include all back-up copies on alternative media.

NOTE: 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.

A record of disposal of the information detailed in the attached schedule should be maintained which identifies each record destroyed.

Standard Operating Procedure

This applies to records which do not need to be kept at all. Information which is duplicated, unimportant or of short term use can be destroyed under the Standard Operating Procedure, including:

- compliments slips
- catalogues and trade journals
- telephone message slips
- non-acceptance of invitations
- trivial e-messages or notes not related to Authority business
- requests for stock information such as maps, plans or marketing material
- out of date distribution lists
- working papers which lead to a final report (including notes of meetings)

- duplicated and superseded material such as stationery, manuals, drafts, address books and reference copies of annual reports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 or vice versa

except where these may be used as evidence to prove that something happened.

RETENTION PERIODS

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1. POLICE AND CRIME COMMISSIONER

	Function	Records	Retention
A	Notes of meetings	Minutes, agendas and reports Rough/draft/audio minutes	Permanent Destroy on completion of final minutes/notes
B	Decisions	Decision reports Decision logs	Permanent Permanent
C	Partnership, agency and external meetings (where the Commissioner owns the record)	Minutes Agendas and reports	Permanent
D	External meetings (where the Commissioner does not own the record)	Minutes Agendas	3 years
E	Working Groups/Steering Groups/Review Groups	Minutes Agendas and reports	5 years
F	Appointment of Chief Constable	Advertisements Application forms Interview reports Personnel files	5 years 6 years from date of last pension payment
G	Dismissal of Chief Constable	Resignation, redundancy, Dismissal, death, retirement	6 years after termination or, if pension paid, 6 years after last pension payment
H	Complaints against Chief Constable	Correspondence	6 years after finalisation
I	Complaints - other	Correspondence Summary reports Details of investigations into complaints	6 years after finalisation 6 years after finalisation 6 years after finalisation

J	Independent Custody Visiting Scheme	Minutes of meetings, agendas, reports, Registers of visits, Custody Visitor details Handbook	2 years Until superseded
K	Corporate planning and reporting	Policing plans Strategy plans Annual reports	Permanent
L	Statutory Inspections, reviews and external audit reports	HMI reports	Permanent
M	Statutory returns	Reports to Central Government	7 years
N	Correspondence re. policing matters	Letters, notes & reports re policing in W Yorks and national initiatives	Permanent
O	Special events	Correspondence & papers Visitors books, brochures & guides	7 years 3 years
P	Police Appeals Tribunals		7 years after last action.
Q	Register of gifts and hospitality		Permanent
R	Register of interests		Permanent
S	Commissioner oath		Permanent
T	Payments to the Commissioner	Expenses, allowances	6 years

2. MEMBERSHIP

	Function	Records	Retention
A	Appointment of members (Audit Panel, Misconduct Members, Review Group Members)	Personnel files Application forms, interview notes,	Permanent 4 years after date of appointment
B	Attendance records	Attendance database	Permanent
C	Payments	Attendance allowance payment details	6 years after leaving
D	Registers of Members interests and hospitality	Register of Interests Register of Hospitality	Permanent
E	Personal Development Review	PDR – notes of meetings and records of development	5 years

3. MANAGEMENT AND ADMINISTRATION

	Function	Records	Retention
A	Policy development	<p>Policies</p> <p>Instructions/procedures</p> <p>Organisation charts</p> <p>Standing orders/financial regulations</p>	Permanent
B	Policy / strategy review		5 years
C	Public consultation	Notes, records, correspondence	3 years
D	Information management	<p>Filing indices</p> <p>Records of transfer to archives</p> <p>Summary of responses to enquiries</p> <p>Disposal records</p> <p>Reports/correspondence on disclosure decisions</p> <p>Routine responses to enquiries</p>	<p>Permanent</p> <p>12 years</p> <p>6 years</p> <p>2 years</p>
E	Media relations	<p>Media reports</p> <p>Press releases</p>	<p>3 years</p> <p>3 years</p>
F	Marketing	<p>Developing and promoting events</p> <p>Information about the Commissioner</p>	<p>2 years</p> <p>When superseded</p>
G	Office Management	Contracts with suppliers	12 years from end of contract
H	Diaries and calendars	Electronic and manual diaries/calendars	3 years
I	Management Team notes		5 years

4. LEGAL AND CONTRACTS

	Function	Records	Retention
A	Litigation	Correspondence Criminal and civil case files	7 years after last action
B	Advice	Correspondence	3 years
C	Agreements	Service level agreements with WYP	6 years after agreement expires
D	Contract development (ordinary)	Tender specification	6 years after terms have expired
E	Contract development (under seal)	Tender specification	12 years after terms have expired
F	Tenders	Tender envelope	1 year after start of contract
G	Evaluation of tenders (ordinary)	Evaluation criteria Successful tender document	6 years after terms have expired
H	Evaluation of tenders (under seal)	Evaluation criteria Successful tender document	12 years after terms have expired
I	Post tender negotiation	Minutes Correspondence	1 year after terms of contract have expired
J	Asset acquisition/disposal (non-land, see section 7)	Legal docs relating to purchase/sale Leases Tender documents	Destroy 6 yrs if under £50,000 Destroy 12 yrs if over £50,000

5. HUMAN RESOURCES

	Function	Records	Retention
A	Personnel administration	Establishment lists Personnel files	Permanent Destroy 6 years from date of last pension payment/leaving date
B	Employee relations	Agreements Correspondence re. Formal negotiations Correspondence re minor & routine matters	Permanent 2 years
C	Disciplinary & grievance investigations (proved)	Disciplinary records	Oral warning – 6 mths Written warning – 1 year Final warning – 18 mths
D	Disciplinary & grievance investigations (unproved)	Disciplinary records Grievance records	Destroy immediately after appeal
E	Grievances	Correspondence and notes	6 years
F	Medical records	Medical examinations Adjustment to work examinations	75 years after DOB
G	Recruitment	Advertisements, application forms, references, interview reports	1 year after appointment made
H	PDR	Probation reports Performance reports & plans	5 years after action completed
I	Staff leave monitoring	Sickness records	2 years after action completed

		Leave records	
J	Staff termination	Resignation, redundancy, dismissal Death or retirement	6 years after termination or, if pension paid 6 years after last pension payment

6. FINANCIAL MANAGEMENT

	Function	Records	Retention
A	Annual reports	Annual statement of accounts	Permanent
B	Internal Audit	Internal Audit Reports- main financial & subsidiary systems Value for money studies Working papers Follow up audits Reports/papers used in the course of a fraud investigation	Destroy on completion of next full audit Destroy on full implementation of recommendations or completion of follow up audit Destroy on completion of next full audit 6 years after legal proceedings are complete
C	Finance reports	Quarterly budget reports Working papers and system reports	Destroy when admin use complete
D	Approvals/purchase	Purchase/sales order	Destroy 7 years after end of financial yr
E	Expenditure	Invoices/receipts Bank statements Vouchers/ledger	Destroy 6 years after end of financial yr
F	Payroll	Claim forms Pay / tax records Summary pay reports	Destroy 7 years after the end of the financial yr Destroy after admin use
G	Budget setting	Final annual budget Draft budgets and estimates Quarterly budget reviews	Permanent Destroy 2 yrs after budget set Destroy after following yrs budget adopted
H	Asset monitoring & maintenance	Asset registers	Destroy 7 yrs after the end of the financial year

		Inventories Stocktaking Acquisition & disposal reports Service records	Destroy 2 yrs after admin use Destroy 7 yrs after sale or disposal
I	Requests for financial assistance		Destroy 7 years after last action.

7. PROPERTY AND LAND MANAGEMENT

	Function	Records	Retention
A	Property acquisition	Plans and reports	Life of property plus 12 years
B	Property disposal	Survey reports Tender documents Conditions of contracts	Destroy 25 yrs after all obligations end
C	Management of buildings of special interest	Project specs Plans Certificates of approval	Permanent
D	Insurance	Insurance policies Correspondence	Destroy 7 yrs after terms expire

8. GENERAL

	Function	Records	Retention
A	Health & safety	Risk assessments Accident books/RIDDOR correspondence and fire certificates	Destroy after 6 years
B	Government Department circulars	Statutes APA Circulars	Destroy after 3 years