



INFORMATION RETENTION AND DISPOSAL POLICY: OFFICE OF THE POLICE AND CRIME COMMISSIONER FOR CAMBRIDGESHIRE AND PETERBOROUGH

Introduction

The Office of Police and Crime Commissioner (OPCC) for Cambridgeshire and Peterborough is committed to the highest possible standards of openness, probity and accountability. All organisations generate records which must be collated, maintained and revised over time.

As a public body, the Office of the Police and Crime Commissioner (OPCC) has a responsibility to be accountable to the public for its actions. Therefore its records must be accurate and capture the correct details of transactions. The policy for management of these must protect the rights of privacy, confidentiality and security. This applies to the management of records of all formats or media, whether created or received.

Effective records management is essential to support compliance with the Freedom of Information Act 2000, (FOIA), the Section 46 Records Management Code issued under the Data Protection Act (DPA) 1998, and the General Data Protection Regulation (GDPR)

This policy statement sets out how the OPCC manages information and complies with its statutory obligations and how it will be reviewed annually. It applies to all the information held by the office, regardless of its format or origin. It includes policy and procedures around:

- Records management, security and sharing information; and
- Retention and disposal of documents.

Records Management and Information Security

All organisations generate records which must be collated, maintained and revised over time. Public authorities are accountable for their actions to the public so need to ensure their records are accurate and reliable. A record is any report, letter, email, minute, decision note, meeting note or other document whether hard copy or electronic, whether created or received and includes any personal data.

The OPCC approach to record management aims to ensure that:

- The value of information is understood;
- Records are current;
- Records can be accessed easily;
- Records can be easily interpreted;
- Records are a reliable representation of that which it is supposed to document; and
- Qualities of the document can be maintained, despite alterations or adaptations over time.

The OPCC is committed to the creation, storage, management and eventual disposal of records in a manner accurately documenting the functions of the OPCC and compliant with this policy. All staff who create, receive and use records have record management responsibilities at some level.

The OPCC will ensure that it develops and utilises systems for the documenting of its activities and registering its records. In order to maintain records efficiently and where applicable, there should be a tracking system in place so the location of particular records can be established and retrieved.

Our policy is to:

- Manage information effectively as a strategic corporate body by providing timely, appropriate, accurate and up-to-date information when it is needed;
- Make information available to those with a business need to see it;
- Take appropriate measures to protect information, including personal information, which cannot be shared for reasons of security or privacy;
- Assess and manage risks to the confidentiality, integrity and availability of information;
- Ensure that information created, collected and stored is proportionate to the business need, and is retained only for as long as it is needed;
- Ensure information is of the appropriate quality, and in the appropriate media, to support business needs;
- Create an information literate culture, where all staff recognise that information is everyone's responsibility and have the skills, confidence & commitment to effectively manage information according to the requirements of their role; and
- Comply with all relevant statutory and regulatory requirements;

Retention and Disposal Procedure and Schedule

The OPCC 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 disposal of records
- prevent unnecessary retention of personal data
- provide consistency of preservation/disposal
- improve record management

Records will be retained for the periods shown in the below Information Retention and Disposal 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 disposal by the appropriate body and this should also include all back-up copies on alternative media.

Litigation: 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.

Record of Disposal: A record of disposal of the information detailed in the attached schedule should be maintained.

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 disposed of under the Standard Operating Procedure, including:

- compliment slips;
- catalogue and trade journals;
- telephone message slips;
- trivial e-messages or notes not related to OPCC business;
- working papers which lead to a final report (including notes of meetings);
- duplicated and superseded material such as stationary, 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 has happened.



OFFICE OF THE POLICE AND CRIME COMMISSIONER – INFORMATION RETENTION AND DISPOSAL SCHEDULE

Business Area/Function	Records	Retention Period	Statutory Provisions	Comments
ADMINISTRATION				
Allowances	Joint Audit Committee (JAC) allowance	Constabulary finance will keep records for statutory time		Finance will keep records for statutory time – there is no requirement for OPCC to also retain.
Travel and subsistence expense claims	Commissioner, Deputy Commissioner, OPCC Staff, Members (JAC), Independent Custody Visitors	6 years after claim	Taxes Management Act 1970	Finance will keep records for statutory time – there is no requirement for us to also retain.
Gifts and Hospitality Records		6 years from receipt		
Independent Custody Visiting Scheme	Visit Reports	2 years following visit		
Information Management	Information Retention and Disposal Register	Permanent		
Disclosable Interests		6 years		
Related Party Transactions Disclosure		6 years		

AGREEMENT				
Agreements	Service level agreements with the OPCC	6 years after agreement expires	Common Practice	Depends on value of agreement. Mainly to do with agreements between public bodies. Not in regard to contracts.
AUDIT				
Internal Audit	Internal Audit reports – main financial and subsidiary systems Working papers. Follow up audits	Disposal on completion of second full audit and follow up actions completed		OPCC only hold these electronically.
COMPLAINTS				
Complaints made by the public, lodged against the Chief Constable, PCC, Chief Executive, OPCC staff, Independent Custody Visitors, or Joint Audit Committee Members		6 years from closure of individual complaint		
Review of complaint Review requested by complainant (complaint and misconduct regs 2020) documents generated by the OPCC Documents received by the OPCC via the Appropriate Authority (constabulary)	Cambs file share – restricted drive Cambs file share – restricted drive	6 years from review of complaint by OPCC Delete immediately following generation of Review outcome letter sent to complainant. Access no longer required by OPCC, information held by PSD		
DEMOCRATIC PROCESS				
Business Co-ordination Board	Agenda and Minutes	Permanent Reviewed after term of current PCC		Available on Commissioner's website

Handwritten notes from meetings		Dispose once minutes approved at next meeting		
Partnership and external meetings	Agenda and Minutes	Permanent by owning body/agency otherwise for Commissioner's office three years after last action		
Police Authority meetings	Agenda and Minutes	Permanent		
Terms of Reference		Until superseded		
DECISION MAKING PROCESS				
Decision Notices		Permanent Reviewed after term of current PCC		Available on Commissioner's website
CONSULTATIONS				
Public Consultation		During the PCC term of office.		
CORRESPONDENCE				
General Correspondence	General correspondence from the public	4 years		Dissatisfaction emails forwarded to IRT who will be log on the CRT database as required
CORPORATE PLANNING AND REPORTING				
Annual Report		Permanent		Available on Commissioner's website
Departmental strategic processes and development plans		3 years after last action completed		
Police and Crime Plans		Permanent		Available on Commissioner's website
ESTATES				

Deeds		Until the sale of the property/update land registry when necessary		
Documents/information relating to the ownership of buildings and land property plans and record of works.		Until the sale of the property		(Some police houses/stations are of historic interest and kept permanently).
Leases		16 years after expiry		
FINANCIAL MANAGEMENT				
Accounts and Audit	Auditors Reports/Final Letters	6 years	The Accounts and Audit (England) Regulations 2015	
Budgets	Quarterly and Year End Summaries	6 years	HMRC	
Contracts	Pre-tender information i.e. adverts and notices, expressions of interest, references, shortlist	3 years from the date of award of contract	Public Contracts Regulations 2015	
Contracts	Service Level Agreements	2 years after contract expiry		
Purchase Orders	Certified copies of official orders	6 years	HMRC	Will be on system no need to keep hard copies too after FY we are in
Invoices	Copy and Paid invoices	2 years by OPCC		E copies retained by Finance for 6 years
Petty cash	Records/books/sheets, receipts	6 years	VAT implications HMRC	
General Audit Correspondence		2 years		

Original tender, signed acceptance plus any variations to contract, performance notices, records of complaints, termination notices, extensions to contract		6 years from end of contract unless it's a Deed where 12 years is necessary		
Performance Reports		2 years after contract expiry		
Pre-tender information i.e. evaluation reports (PQQs)		7 years	OJEU Regulations	
Statement of Accounts		Permanent	Companies Act 2006	Also available on Commissioner's website but OPCC have to keep one hard copy
Precept notification	Precept charges	6 years	MHCLG	
HUMAN RESOURCES				
Administration	Chief Officers Pay	2 years		
Medical Appeal files		6 years from date of last pension payment		Working presumption until clarified is that this is last payment to them
Personal Development Reviews (Chief Constable)		6 years from date of last pension payment		
Police Appeal Tribunals		7 years from date of last pension payment		Working presumption until clarified is that this is last payment to them Legal matter, therefore 7 years
Police pension papers – specific cases		6 years from date of last pension payment		Working presumption until clarified is that this is last payment to them. Waiting for advice from Rachel Wilkinson

Police pension papers – general correspondence		2 years		
Appointments – Chief Constable		2 years after date of appointment		
Appointments – other OPCC staff members –successful Unsuccessful		OPCC retain until successful applicant completed probationary period. Unsuccessful-Board pass applicants until successful applicant completed probation. Those applicants who did not board pass interview dispose of when feedback provided		
Independent Members – committee membership – i.e. JAC		6 years		
Employment Tribunals	Records and files	6 years from conclusion of case		Awaiting advice from HR
Independent Members – training records		6 years from date of last training course		For Members to keep not OPCC
Personal Development Reviews (PDR)	Records	6 years after PDR review		
Personal Records	HR hold	Until age 100/consider 85 years of age for non-pay/pension records		
Pension files	Police pension files	Until age 100		
Resignation, retirement, dismissal – Chief Constable		6 years. If pension paid, 6 years from date of last pension payment		
Resignation, retirement, dismissal – Chief Executive and staff		6 years. If pension paid, 6 years from date of last pension payment		

Sickness Records		HR retain until age 72		
INFORMATION				
Data breach records/investigation		2 years		Is this something old or currently relevant?
Data Processing Agreements		Life of, or end of, Agreement		
Freedom of Information	Responses to requests	5 years after response given		
Subject Access Requests	Responses to requests	2 years after response given		
LEGAL AND CONTRACTS				
Contract Management	Service Level Agreements	2 years after contract expiry		
	Compliance Records	2 years after contract expiry		
	Performance Reports	2 years after contract expiry		
Litigation – Process and management of cases		7 years after last action		
Commissioning/Income Generation		6 years		
POLICY AND PROCEDURES				
Policy documents relating to the introduction of new legislation or procedures		Retain until superseded and then for 10 years		
PRESS/MEDIA/STAKEHOLDER MANAGEMENT				

Press releases, blogs, articles, briefings, press conferences, correspondence		5 years or 6 years after publication or event or closure of matter		Clarify with Catherine a line on social media, held permanently? Doesn't seem right
Preparation work for publications		5 years after publication		
Other stakeholder correspondence		5 years after publication		
PROPERTY AND LAND MANAGEMENT				
Insurance	Insurance policies Correspondence	7 years after terms expire		Common Practice
Management of buildings of special interest	Project specification Plans Certificates of approval	Permanent		Common Practice
Property acquisition	Plans	Life of property plus 12 years		Common Practice
Property disposal	Legal documents Survey reports Tender documents Conditions of contracts	15 years after all obligations end		Common Practice
Property inventories	Inventories	Permanent		Common Practice