



POLICE COMMISSIONER

Working For Merseyside

Records Management & Disposal Policy and Procedure

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Applicable to	Police and Crime Commissioner and all Officers of the Office and Police and Crime Commissioner

Records Management & Disposal Policy and Procedure

Introduction

The purpose of the policy is to:-

- prevent the premature destruction of records;
- provide consistency of preservation/destruction; and
- improve record management practices within Office of the Police and Crime Commissioner for Merseyside (OPCCM).

Policy

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 or from the date of the last entry in the records as appropriate. 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. Duplicates can usually be retained for a shorter period and should always be destroyed before or at the same time as the official copies.

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 disclosure has been made 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. For records not covered by the schedule the Chief Executive should be contacted for further advice.

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 where that use has finished can be destroyed under the Standard Operating Procedure, which might include:-

- 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- out of date distribution lists;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 where the results have been written into a final report;
- duplicated and superseded material such as stationery, manuals, drafts;
- address books and reference copies of annual reports; and
- e-copies of documents where a hard copy has been printed and filed.

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

Ref. No.	Function	Retention Action	Example(s) of Record(s)
DECISION MAKING PROCESSES			
1.1	The process of making recordable decisions and decision of significant public interest	Retain for period of 6 years.	Decision records Associated reports Supporting documentation
1.2	Process relating to the ethical framework of the Commissioner	Retain for period of 2 years after period of appointment expires.	Code of Conduct. Register of Interests. Register of Gifts and Hospitality.
MANAGEMENT AND ADMINISTRATION			
2.1	Corporate planning and reporting activities.	Retain for period of 5 years after adoption of Plan, Strategy, etc.	Annual Report Police and Crime Plan
2.2	Activities that develop, performance policies, procedures, services strategies and structures	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	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 Commissioner's Office	Retain for period of 5 years.	Letters. Forms.
2.8	Management of routine correspondence	Retain for period of 2 years.	Letters. Circulars. Printed Material.

2.9	Process of monitoring/recording quality, efficiency, or performance of the Commissioner's Office	Retain for period of 7 years.	Best Value Review. Performance Improvement Plan.
2.10	Process of assessing quality, efficiency or performance of the Commissioner's Office	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	Custody Visitor Reports	Retain for period of 6 years	Forms
LEGAL AND CONTRACTS			
3.1	Process of managing, undertaking, or defending for or against litigation on behalf of the Commissioner	Retain for period of 7 years (after last action in case).	Criminal Case Files. Childcare 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.	Conveyancing Files.
3.5	Contract operation and monitoring.	Retain for period of 2 years after terms of contract have expired.	Service Level Agreements.
HUMAN RESOURCES			
4.1	Process management systems that allow monitoring and management of Chief Officer appointments	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 Officer appointments	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 staff	Retain for period of 2 years after completion.	Individual Assessment Forms.

FINANCIAL MANAGEMENT

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 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 Police Authority.	Quarterly Statements.
5.11	Activity of borrowing money to enable the Commissioner to perform their functions and exercise its 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	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.
PROPERTY AND LAND MANAGEMENT			
6.1	Reports to management on overall property	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 Police Authority or its 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.