



RETENTION AND DISPOSAL POLICY

1. Introduction

- 1.1 The Police and Crime Commissioner for South Wales is committed to operating in an open and transparent manner.
- 1.2 In order to comply with the Freedom of Information Act (FOIA) the Commissioner must ensure that its records are in a sufficient state of readiness to meet the standards necessary to deal effectively with FOI requests.
- 1.3 This retention schedule is designed to support the Commissioner's corporate governance framework and complies with the standards required by the Information Commissioner, taking into account various legislative requirements.

2. Purpose

- 2.1 The purpose of this schedule is to:
 - prevent the premature destruction of records
 - provide consistency of preservation/destruction
 - improve record management

3. Retention Schedule

- 3.1 All records held by the Commissioner should be retained for the periods shown in the attached schedule. The Chief of Staff will be responsible for ensuring that all records held by the Commissioner are kept for the appropriate length of time and are destroyed according to the time specified in the attached retention schedule.
- 3.2 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.
- 3.3 *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.*

3.4 The retention period specified in the attached schedule does not mean that the document/or information should without exception be destroyed after the set date. The retention period specifies the latest date to re-evaluate the information. At the end of a retention period the main user, in conjunction with the Chief of Staff will:

- evaluate the business 'value' of the document/information; and
- either destroy the document/information or if applicable, set a further retention period.

3.5 Where appropriate, information can be retained by other means, such as, micro-fiche, magnetic tape, computer disk or off-site storage. It is not necessary to make information stored in this way 'instantly' retrievable. It will be sufficient to ensure that information is accessible through the Commissioner's systems.

4. Standard Operating Procedure (SOP)

4.1 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 , magazines, newsletters and trade journals
- telephone message slips
- non-acceptance of invitations
- trivial e-messages or notes not related to Commissioner 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
- 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

4.2 All these records can be destroyed, except where these may be used as evidence to prove that something happened.

1. Business of the Commissioner

Function	Records	Retention	Notes
Appointment of Chief Constable	Advertisements Application forms Interview reports Personnel files	2 years 6 years from date of last pension payment	
Complaints against Chief Constable	Correspondence	8 years	
Complaints and enquiries directed to the Commissioner	Correspondence Summary reports Details of investigations into complaints	8 years	
Corporate planning and reporting	Policing plans Strategy plans Annual reports Corporate and Business Plans	Permanent	
Dismissal of Chief Constable	Resignation, redundancy, dismissal, death, retirement	6 years after termination or, if pension paid, 6years after last pension payment	
External meetings (where the Commissioner does not own the record)	Minutes, agendas, reports and recommendations, supporting documents.	3 years after last action	Common Practice
Independent Custody & Animal Welfare Visiting Scheme	Minutes, agendas, reports, Registers of visits, Custody Visitor details Handbook	2 years Until superseded	
Partnership, agency and external meetings (where the Commissioner owns the record)	Minutes Agendas, reports and recommendations, supporting documents	Permanent	Common Practice
Police and Crime Panel Meetings	Minutes, agendas, reports and recommendations Indexes Rough/draft/audio minutes	Permanent Destroy on confirmation of Minutes	Common Practice
Statutory Inspections, reviews and external audit reports	HMI reports	Permanent	
Statutory returns	Reports to Central Government	7 years from closure	
Working Groups/Steering Groups	Minutes Agendas and reports	3 years	

2. Commissioner

Function	Records	Retention	Notes
Appointment	Personnel files	Permanent	
Payments	Expense/allowance payment details	6 years after leaving	
Personal Development Review	PDR – notes of meetings and records of development	5 years	
Registers of interests and gifts and hospitality	Register of Interests Register of Gifts and Hospitality	Permanent	

3. Management and Administration

Function	Records	Retention	Notes
Diaries and calendars	Electronic and manual diaries/calendars	3 years	
Information management	Filing indices	Permanent	
	Management of records of transfer to archives	Permanent	
	Summary of responses to enquiries	6 years	
	Disposal records		
	Reports/correspondence on Commissioner action		
	Routine responses to enquiries	2 years	
	General Correspondence/emails & faxes *File (paper) & Folders (electronic inc. emails) containing records for which there is no identified process or function in the retention schedule	Archive for one year – destroy if no further use. No file should remain open for more than 5 years and may be closed at any time within that period based on monitoring of usage and additions. If closed and new	5 year rule specified in Code of Practice on Records Management under s46 Freedom of information Act 2000.

		activity begins, a new volume of the file should be created and the retention period of the old volume be brought inline with the new volume.	
Marketing	Developing and promoting Commissioner events Information about the Commissioner	2 years When superseded	
Media relations	Process of interaction with the media Media publications concerning the Commissioner (press cuttings, media reports)	3 years Permanent	
Office Management	Contracts with suppliers	3 years from end of contract	
Policy development	Policies Instructions/procedures Organisation charts Standing orders/financial regulations Routine responses on policy or procedures (Printed material , letters)	Permanent 2 years after admin use is concluded	Common Practice
Policy Review	Reviewing strategic plans / policies or procedure to assess their compliance with guidelines	Destroy 5 years from closure	Common Practice
Publications	The process of designing & setting information for publication The published work of the Commissioner	Destroy 3 years from last action Destroy after administrative use is concluded. Note one copy from the initial print run should go directly to the archive.	Common Practice
Public consultation	Consultation on development of significant policies	5 years from closure	Common Practice

	<p>Consultation on development of minor policies</p> <p>Consultation meeting notes, records, correspondence, minutes, supporting papers and correspondence</p>	<p>1 year from closure</p> <p>2 years</p>	
Statutory returns	Reports to Central Government as part of statutory requirement.	Destroy 7 years from closure.	
Unstructured Records	<p>Records that do not support a business process i.e. there is not existing place for them in a filing structure and none will be created. This applies to filing structures for paper and electronic formats including e-mails.</p> <p>Working papers which lead to a final report</p>	Destroy as soon as use has ceased	Local Government Act 1972 – Access to information for working papers as background to reports to Committee

4. Legal and Contracts

Function	Records	Retention	Notes
Advice (providing advice on a point of law)	Correspondence	3 years	Common Practice
Agreements (not including contractual agreements)	Service level agreements with Commissioner	6 yrs after agreement expires	Common Practice. Depends on value of agreement. Mainly to do with agreements between public bodies. Not in regard to contracts.
Asset acquisition/disposal	<p>Legal docs relating to purchase/sale</p> <p>Leases</p> <p>Tender documents</p>	<p>Destroy 6 yrs if under £50,000</p> <p>Destroy 12 yrs if over £50,000</p>	
Pre Contract advice	Expression of interest	Destroy 2 years after contract let or not proceeded with.	
Contract development (ordinary)	Tender specification	6 years after terms have expired	Statutory

Contract development (under seal)	Tender specification	12 years after terms have expired	Statutory
Contract Management (Operation and Monitoring)	Service Level Agreements Compliance Reports Performance Reports	2 years after terms of contract have expired	Common Practice
Conveyance	Conveyance Files	Destroy 12 years after closure	Statutory
Evaluation of tenders (ordinary)	Evaluation criteria Successful tender document	6 years after terms have expired	Statutory
Evaluation of tenders (under seal)	Evaluation criteria Successful tender document	12 years after terms have expired	Statutory
Litigation	Correspondence Criminal and civil case files	7 years after last action	
Post tender negotiation	Minutes Correspondence	1 year after terms of contract have expired	Common Practice
Tenders	Tender envelope	1 year after start of contract	Statutory
Unsuccessful tender documents	Tender documents quotations	Destroy 1 year after start of contract.	Common Practice

5. Human Resources

Function	Records	Retention	Notes
Appointment of Statutory Officers	Vacancies & applications records Interview notes, prospective staff records, registers of applicants Unsuccessful applications records	Destroy 2 years after date of appointment	Common Practice
Disciplinary & grievance investigations (proved)	Disciplinary records Grievance Records	Oral warning – 6 mths Written warning – 1 year Final warning – 18 mths Dismissal – after determination of all internal and external appeals - 2 years	
Disciplinary & grievance investigations (unproved)	Disciplinary records Grievance records	Destroy immediately after appeal	
Employee relations	Agreements/negotiations / disputes	Permanent	

	Correspondence re. Formal negotiations Correspondence re minor & routine matters	2 years	
Equal Employment Opportunities	The process of investigation & reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guideline policies.	5 years after action completed	Common practice
Fairness in Action	Correspondence and notes	Transfer to Diversity Unit on conclusion of process	
Medical records	Medical examinations Adjustment to work examinations	75 years after DOB	
PDR	Probation reports Performance reports & plans	5 years after action completed	
Personnel administration	Establishment lists Personnel files	Permanent Destroy 6 years from date of last pension payment/leaving date	
Recruitment – the selection of an individual for an established position	Advertisements, application forms, references, interview reports Criminal Records Bureau (CRB) checks and associated documentation	1 year after appointment made Positive outcomes – 2 years after date of check Negative outcomes – 1 year after date of check after date of check	
Staff leave monitoring	Sickness records, All Leave records (sickness, jury, study, annual leave etc.) Flexi cards	2 years after action completed	
Staff Retention	Financial reward	Destroy 7 years after action completed	All records relating to actual payments are dealt with under finance
Staff termination	Resignation, redundancy, dismissal, death or retirement	6 years after termination, or, if pension paid, 6 years after last pension payment	Common Practice

6. Financial Management

Function	Records	Retention	Notes
Annual reports	Annual statement of accounts	Permanent	
Approvals/process for purchase	Purchase/sales order Appointments / delegations Audit Investigations	Destroy 7 years after end of financial yr	Statutory
Asset Acquisition and Disposal	Management of the acquisition (by financial lease of purchase) & disposal (by sale or write off) process for assets	Destroy 6 years, if under £50,000 or 12 years if over £50,000, after all obligations/entitlement are concluded	Statutory
Asset monitoring & maintenance	Asset registers Inventories Stocktaking Acquisition & disposal reports Service/maintenance records	Destroy 7 yrs after the end of the financial year Destroy 2 yrs after admin use Destroy 7 yrs after sale or disposal	Statutory Common Practice Statutory
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	Only final version of annual budget needs to be kept
Expenditure	Invoices/receipts Bank statements Vouchers/ledger Write offs of Public monies Processes to balance & reconcile financial accounts	Destroy 6 years after end of financial yr Destroy 2 years after admin use is concluded	
Finance reports	Quarterly budget reports Working papers SUN reports		
Internal Audit	Internal Audit Reports- main financial & subsidiary systems	Destroy one year after completion of next full	

	Value for money studies Working papers Follow up audits	audit Destroy on full implementation of recommendations or completion of follow up audit Destroy on completion of next full audit	
Loans	Loan files (borrowing money to enable authority to perform its functions & exercise its powers) Loans register Summary management of loans	Destroy after the loan has been repaid Permanent	Statutory Common Practice
Payroll	Claim forms Pay / tax records Summary pay reports Non accountable processes relating to payment of employees	Destroy 7 years after the end of the financial yr Destroy after admin use	Statutory Common use

7. Property and Land Management

Function	Records	Retention	Notes
Insurance	Insurance policies Correspondence	Destroy 7 yrs after terms expire	
Management of buildings of special interest	Project specs Plans Certificates of approval	Permanent	
Property acquisition	Plans	Life of property plus 12 years	

8. General

Function	Records	Retention	Notes
Property disposal	Legal documents Survey reports	Destroy 15 yrs after all obligations end	

	Tender documents Conditions of contracts		
Freedom of Information requests where exemptions apply, complaints or appeals are made.	<p>Requests for Information dealt with under the provisions of the Freedom of Information Act 2000 where:</p> <p>The records are subject to exemptions (partially or wholly),</p> <p>A Public Interest Test has been formally applied,</p> <p>A complaint has been made to EPA about the application of exemptions or handling of the request,</p> <p>A complaint has been made to the Information Commissioner about the application of exemptions or the handling of the request</p>	<p>The request itself, associated records, and any records to which the request applies should not be destroyed until EPA is satisfied that requestor does not wish to pursue an appeal or the appeal process has been exhausted.</p> <p>The documentation should remain current for a year from the last action, then closed for one further year, then destroyed if no further activity has occurred.</p> <p>Should an activity occur within that period, the documentation should become current again</p>	
Health & safety	Risk assessments Accident books/RIDDOR correspondence and fire certificates	Destroy after 3 years	