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Retention and Disposal Policy and Schedule

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Version	Date	Author	Reason for Change
1.0	21/11/12	Rachel Boissinot	
2.0	16/02/17	Claire Bryant	Review and amendments to reflect change in staff structure
2.1	30/03/17	Claire Bryant	Amendments in line with external guidance
2.2	11/04/17	Claire Bryant	Proof read by manager
2.3	10/05/17	Claire Bryant	Retention period for vacancy applications added
2.4	15/10/19	Cheryl Gayther	Additions made to reflect Estates department
2.5	31/03/21	Cheryl Gayther	Retention period for SAR amended in line with NPCC schedule

1. Introduction

1.1 The Office of the Police and Crime Commissioner (OPCC) for Dyfed-Powys is committed to operating in an open and transparent manner.

1.2 In order to comply with the Freedom of Information Act (FOIA) the OPCC must ensure that its records meet the standards necessary to deal effectively with FOI requests.

1.3 This Retention and Disposal Policy and Schedule is designed to support the OPCC's corporate governance framework and complies with the standards required by the Information Commissioner, taking into account the various legislative requirements and developments following the implementation of the Bichard¹ recommendations.

2. Purpose

2.1 The purpose of this Policy and Schedule is to:

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

3. Retention and Disposal Policy

3.1 All records held by the OPCC should be retained for the periods shown in the attached Schedule. OPCC Support Officers will be responsible for ensuring that all records held by the OPCC are kept for the appropriate length of time and will recommend documents for destruction 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. 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 Support Officers will conduct a six-monthly review of all records whereby they will determine which records are due for destruction. A report will then be provided to the Chief of Staff detailing all records due for destruction to include information on the subject matter and last dates of correspondence / entry in the file. Following consideration of this information, the Chief of Staff will determine which records should be destroyed in line with the retention periods detailed in the Schedule of this Policy and which records should still be retained.

¹ The Bichard Inquiry Report, 2004 (<http://dera.ioe.ac.uk/6394/1/report.pdf>)

3.5 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.

3.6 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 OPCC'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 the Commissioner's 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

4.2 All records can be destroyed, except where these may be used as evidence to inform a decision.

5. Ongoing monitoring and review of Policy and Schedule

5.1 This Policy and Schedule will be reviewed on an annual basis. However, if areas of concern or changes to legislation arise throughout the course of the year, the Chief of Staff will advise the Commissioner on an ad-hoc basis in relation to any necessary changes to the Policy and Schedule.

APPENDIX 1: RETENTION SCHEDULE

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1. Dyfed-Powys OPCC Business

Function	Records	Retention	Notes
Appointment of Force Chief Officers	Advertisements	2 years from date appointment made	
	Application forms Interview reports Personnel files	6 years from date of last pension payment	
Best Value Review Projects	Minutes, agendas Supporting documentation	5 years after last action	
Complaints against the Chief Constable	Correspondence	8 years after last action	
Complaints and enquiries directed to the OPCC	Correspondence Summary reports Details of investigations into complaints	6 years after last action	In line with DPP Policy
Corporate planning and reporting	Policing plans Strategy plans Annual reports Corporate and Business Plans	Permanent	
Dismissal of the Chief Constable	Resignation, redundancy, dismissal, death, retirement	6 years after termination or, if pension paid, 6 years after last pension payment	
External meetings (where the OPCC does not own the record)	Minutes, agendas, reports and recommendations, supporting documents, decision making logs	Once use has been concluded	Common Practice
Volunteer records	Minutes, agendas, reports, registers of visits	2 years	
	Volunteer details	2 years after termination / end of appointment	

	Handbook	Until superseded	
Partnership, agency and external meetings (where the OPCC owns the record)	Minutes, agendas, reports and recommendations, supporting documents, decision making logs	6 years after last action	Common Practice
Statutory Inspections, reviews and external audit reports	HMI reports	1 year after actions completed	ACPO National Guidance
	Internal / External auditor reports	6 years after last action	
Statutory returns	Reports to Central Government	7 years from closure	
Working Groups / Steering Groups	Minutes, agendas and reports, decision making logs	3 years after last action	
Decision making meetings and audit committee	Agenda, minutes, reports	Permanent	

2. 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	Permanent	
	Reports / correspondence on the Commissioner's decisions and actions	6 years	
	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	Archive for one year – destroy if no further use. No file should remain open for more than 5	

	retention schedule	years and may be closed at any time within that period based on monitoring of usage and additions. If closed and new activity begins, a new volume of the file should be created and the retention period of the old volume be brought in line with the new volume	
Marketing	Developing and promoting Commissioner events	2 years	
	Information about the Commissioner	When superseded	
Media relations	Process of interaction with the media	3 years	In line with DPP policy
	Media publications concerning the Commissioner / OPCC (press cuttings, media reports)	5 years unless considered historical	
Office Management	Contracts with suppliers	Signed contract 6 years from end of contract. All other background paperwork 1 year from end of contract	National Archives guidance
Policy development	Policies Instructions / procedures Organisation charts Standing orders / financial regulations	Permanent	Common Practice
	Routine responses on policy or procedures (Printed material, letters)	2 years after admin use is concluded	

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 Note one copy from the initial print run should go directly to the archive. Destroy all other copies after administrative use is concluded	Common Practice
Public consultation	Consultation on development of significant policies	5 years from closure	Common Practice
	Consultation on development of minor policies	1 year from closure	
	Meeting notes, records, correspondence, IAG minutes, supporting papers and correspondence	2 years from closure	
Quality and performance management	Performance Management Information / Reports	2 years	In line with National ACPO guidance
Unstructured Records	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 Working papers which lead to a final report – (unless report is submitted to a Committee – in which case papers should be available for 6 years in line with	Destroy as soon as use has ceased	

	availability of the minutes for public inspection)		
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3. 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 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
Asset acquisition / disposal	Legal docs relating to purchase/sale Leases Tender documents	Destroy 6 years if under £50,000 Destroy 12 years if over £50,000	
Pre Contract advice	Expression of interest	Destroy 2 years after contract let or not proceeded with	
Contract development (ordinary) (under hand)	Tender specification	6 years after terms have expired	To comply with statutory period of limitation
Contract development (under seal)	Tender specification	12 years after terms have expired	Statutory period of limitation
Contracts	Register of seals	Permanent	
Contract Management (Operation and	Service Level Agreements Compliance Reports	2 years after terms of contract have expired	Common Practice

Monitoring)	Performance Reports		
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 end of contract	Common Practice

4. Human Resources

Function	Records	Retention	Notes
Appointment of Statutory Officers	Vacancies & applications records Interview notes, prospective staff records, registers of applicants Unsuccessful applications records Successful applications records	Destroy 2 years after date of appointment Retain within personnel files (until individual's death)	Common Practice
Election of PCC	Expenses / allowances payments Financial interests record Register of gifts and hospitality	6 years after end of term in office	

Disciplinary & grievance investigations (proved)	Disciplinary records	Oral warning – 6 months Written warning – 1 year Final warning – 18 months Dismissal – after determination of all internal and external appeals	
	Grievance records	2 years	
Disciplinary & grievance investigations (unproved)	Disciplinary records Grievance records	Destroy immediately after appeal	
Police Appeal Tribunals	Case files	10 years after review completed	In line with National Archives guidance
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	
PDR	Probation reports Performance reports & plans	Permanent	
Personnel administration	Establishment lists	Permanent	
	Personnel files	Retain until individual's death	

Recruitment – the selection of an individual for an established position	Advertisements, application forms, references, interview reports	Unsuccessful candidates = 1 year after appointment made Successful candidates = Retain within personnel files (until individual's death)	
	Criminal Records Bureau (CRB) checks and associated documentation	Positive outcomes – 2 years after date of check Negative outcomes – 1 year after date of check	
Registers of Gifts and Hospitality	Staff Register of Gifts and Hospitality	Permanent	
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

5. Financial Management

Function	Records	Retention	Notes
Annual reports	Annual statement of accounts	6 years	HMRC guidance

Approvals / process for purchase	Purchase / sales order Appointments / delegations Audit Investigations	Destroy 6 years 6 months after end of financial year	In line with DPP policy
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	Destroy 6 years 6 months after last item has been disposed of	In line with DPP policy
	Inventories Stocktaking	Destroy 2 years after admin use	Common Practice
	Acquisition & disposal reports Service / maintenance records	Destroy 6 years 6 months after sale or disposal	Statutory
Budget setting	Final annual budget	Permanent	Only final version of annual budget needs to be kept
	Draft budgets and estimates	Destroy 2 years after budget set	
	Quarterly budget reviews	Destroy after following years budget adopted	
Expenditure	Invoices / receipts Bank statements Vouchers / ledger Write offs of public monies	Finance department to destroy 6 years after end of financial year	In line with DPP policy
	Processes to balance & reconcile financial accounts	Office copies - Destroy 2 years after admin use is concluded	
Finance reports	Quarterly budget reports	Destroy 2 years after	

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

6. Property and Land Management

Function	Records	Retention	Notes
Insurance	Insurance policies Correspondence	Destroy 7 years after terms expire	

Management of buildings of special interest	Project specs Plans Certificates of approval 'As built' drawings and operational maintenance manuals	Permanent	
Management of buildings	Project bills of quantity Accepted tenders, agreements with contractors/consultants Consultant & Contractors' drawings, maintenance schedules/diaries, installation surveys, maintenance programme, forward maintenance registers.	16 years	
Management of lease hold properties	Leases Memorandum of terms Landlords consents Licenses Correspondence with utility/communications companies	Destroy 6 years 6 months after all obligations end	
Property acquisition	Plans	Life of property plus 12 years	
Property disposal	Legal documents Survey reports Tender documents Conditions of contracts	Destroy 6 years 6 months after all obligations end	In line with DPP policy

7. General

Function	Records	Retention	Notes
Freedom of Information requests	Disclosures	2 years from disclosure or completion of any appeal	In line with DPP policy
Subject Access Requests	Disclosures	2 years from disclosure or from completion of any appeal, local or ICO	In line with DPP policy & national standard
Health & Safety	Risk assessments	Archive	In line with DPP policy
	Accident books / RIDDOR correspondence and fire certificates	Destroy after 3 years	
	Asbestos inspections, registers and removal information	40 years	