



Police and Crime Commissioner for Derbyshire Retention and Destruction Policy 2020

EXTERNAL POLICY

Control Sheet

Policy details

Policy Title	Derbyshire PCC Retention and Destruction Schedule 2020
Responsible Officer	Head of Compliance
Security Classification	External
Disclosable under FOIA	Yes
Policy implementation date	October 2020
Next review date	October 2021 (1 years)

Revision details

Revision date	Changes
Draft version 1 – 01/07/2020	Altered categories
Final version – 01/10/2020	

Function	Records	Retention Trigger	Retention Period	Rationale for Retention Period	Retention Method	Action at end of Retention	Information Owner
Administration							
General Administration							
Appointment of Chief Constable	Appointment Process Files (including unsuccessful application forms, interview reports, adverts etc.)	Decision made about appointment	1 year	National Archive Page 10	Electronic	Manual deletion	OPCC
	Personnel Files	Termination of employment	6 years	Chartered Institute of Personnel and Development	Electronic	Manual deletion	OPCC
Staff Records	Successful Applicant Appointment Process Files (including application forms, interview reports, adverts etc.)	Record creation	Under Review	Under Review	Electronic	Under Review	HR
	Unsuccessful Applicant Appointment Process Files (including application forms, interview reports etc.)	Processing of application ends	1 year	National Archive Page 10	Electronic	Automatic deletion	HR
	Personnel files (including contracts, probation reports, appraisals, references provided, sickness records, reasonable adjustment requirements) and Disciplinary records (including warnings and grievance records)	Record creation	Under Review	Under Review	Electronic	Under Review	HR
	Annual Leave records and flexi cards	Record creation	2 years	The Working Time Regulations 1998	Electronic	Automatic deletion	HR

	Dismissal, resignation, redundancy, dismissal, death or retirement	Record creation	Under Review	Under Review	Electronic	Under Review	HR
General Correspondence	Internal letters, e-mails and faxes	Last correspondence in chain	Dependent on email content, see other retention periods. Once manually deleted by user, retained for 31 days in recycle bin and then a further 93 days in Outlook Servers	Force Policy	Electronic	Manual deletion initially, followed by automatic permanent deletion	Individual staff member and IT department
Insurance	Personal staff vehicle insurance certificates	Receipt of the document	Policy duration+ 12 months	Common practice/Business need	Physical copy	Confidential Waste	OPCC
Health and Safety	Accident at work report	Record creation	Indefinitely	Common practice/Business need	Electronic	N/A	Health and Safety Department
	Risk assessments	Record creation	Indefinitely until superseded	The Management of Health and Safety at Work Regulations 1999 Section 3(3)	Electronic	Update when necessary	Health and Safety Department

Home Office and APCC distributions	Journals, newsletters, circulars, newspapers and leaflets	Receipt of the publication	1 year	Common practice/Business need	Physical copy	Review	OPCC
Diaries and calendars	Outlook diary	End of year to which record refers	Current year + 1 year	Common practice/Business need	Electronic	Manual deletion	OPCC
Transparent Administration							
OPCC Publications	Police and crime plan	Record creation	Indefinitely	Police Reform and Social Responsibility Act 2011, Section 1	Electronic	N/A	OPCC
	Annual report	Record creation	Indefinitely	Police Reform and Social Responsibility Act 2011, Section 1	Electronic	N/A	OPCC
	Press releases	Record creation	Indefinitely	Police Reform and Social Responsibility Act 2011, Section 1	Electronic	N/A	OPCC
	General reports	Record creation	Indefinitely	Police Reform and Social Responsibility Act 2011, Section 1	Electronic	N/A	OPCC
Compliance							

Complaints	Reviews of complaints against the Force	End of review process	6 years + current	Common practice/Business need	Electronic	Review and manual deletion	OLCE
	Complaint records against a Chief Officer	End of complaints process	6 years + current	Common practice/Business need	Electronic	Review and manual deletion	OLCE
	Complaint records against the Office of the Police and Crime Commissioner/ staff within the OPCC and the PCC	End of complaints process	6 years + current	Common practice/Business need	Electronic	Review and manual deletion	OLCE
Information Requests	Policy records (i.e. procedures for handling information requests)	Record creation	Indefinitely until superseded	National Archive Page 5	Electronic	Update when necessary	OPCC
	Individual transaction records (i.e. case file records detailing the information request, the consideration of possible exemptions and subsequent appeals)	Record creation	3 years + current	Common practice/Business need	Electronic	Manual deletion	OPCC
	Statistical data about the number of requests answered and their outcomes	Record creation	10 years	National Archive Page 5	Electronic	Review	OPCC
Case Management Records	Case records and associated documentation both sent and received	Close of case	3 years + current	Common practice/Business need	Electronic	Manual deletion	OPCC
Legal advice	Correspondence fees	Record creation	3 years	Common practice/Business need	Electronic	Manual deletion	OPCC
Litigation	Correspondence	Last Action	7 years	Common practice/Business need	Electronic	Manual deletion	OPCC

	Criminal and civil case files	Last Action	7 years	Common practice/Business need	Electronic	Manual deletion	OPCC
Registers of Interests, Gifts and Hospitality	Register of interests	Record creation	Indefinitely	Common practice/Business need	Electronic	N/A	OPCC
	Register of gifts and hospitality	Record creation	Indefinitely	Common practice/Business need	Electronic	N/A	OPCC
Stop Search Scrutiny Panel	Reports	Record creation	5 years	Common practice/Business need	Electronic	Manual deletion	OPCC
	Statistical data	Record creation	5 years	Common practice/Business need	Electronic	Manual deletion	OPCC
	Appointment process files (including application forms, interview reports and adverts)	Decision made about appointment	1 year	National Archive Page 10	Electronic	Manual deletion	OPCC
	Personnel files	Volunteer's departure	6 years	Chartered Institute of Personnel and Development	Electronic	Manual deletion	
	Training history	Record creation	6 years	National Archives Page 9	Electronic	Manual deletion	OPCC
Finance and Commissioning							
Finance							

Expenditure	Invoices, receipts, bank statements and vouchers/ledger	Record creation	6 years + current	National Archives	Electronic	Manual deletion	Finance and Business Services
Financial Reports	Quarterly budget reports and working papers	Record creation	Duration of administrative use	Common practice/Business need	Electronic	Manual deletion	OPCC
	Final budget reports	Record creation	Indefinitely	Common practice/Business need	Electronic	N/A	OPCC
Financial Statements	Statements/summaries prepared for inclusion in quarterly/annual reports	Record creation	4 years + current	Finance dept policy	Electronic	Manual deletion	Finance and Business Services
	Final Accounts	Record creation	Indefinitely	Common practice/Business need	Electronic	N/A	Finance and Business Services and OPCC Website
Risk	Risk Register	Risk closed	3 years plus current	Common practice/Business need	Electronic	Manual deletion	OPCC
	Risk Assessments are embedded in other reports, for which the retention policies are listed elsewhere in this document.				Electronic	See relevant sections	OPCC
Statutory Returns	Reports to central government	Record creation	6 years+ current	Common practice/Business need	Electronic	Manual deletion	Finance and Business Services
Tenders	Tender opening records and notifications of successful tenders	Record creation	Tender duration + 7 years	Common practice/Business need	Electronic	Review	Procurement

Insurance	Insurance policies and correspondence	Year of Policy End	6 years +current	Common practice/Business need	Electronic	Manual deletion	Finance and Business Services
Expenses	Executive staff claim forms	Record creation	6 years + current	National Archives Page 9	Paper and Electronic	Manual deletion	Finance and Business Services
	OPCC staff expenses claims	Record creation	6 years + current	National Archives Page 9	Electronic	Manual deletion	Finance and Business Services
Payments	Salary and allowances	Record creation	Indefinitely	Information required for pensions	Electronic	Review possibility of archive	Leicestershire and Derbyshire Payroll Services
Commissioning							
Project development	Project development documents (e.g. agendas, minutes, reports, cost analysis)	Record created	7 years	Common practice/Business need N.B. For commissioning, the business need is to align with procurement department retention schedules	Electronic	Review	OPCC
	Notification to commence procurement	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC

Tender preparation and set up	Existing contract review	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Service review (Inc. surveys, market research etc.)	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Service specification	Record created	7 years	Common practice/Business need	Electronic	Review	Lead commissioning partner
	Decision records	Record created	Indefinitely	Common practice/Business need	Electronic	NA	OPCC
	Equality and Diversity Assessments	Record created	7 years	Procurement department policy	Electronic	Review	Procurement
	Data Protection Impact Assessments	Record created	7 years	Procurement department policy	Electronic	Review	Procurement
	Clarification log	Record created	7 years	Procurement department policy	Electronic	Review	Procurement
	Terms and conditions	Record created	7 years	Procurement department policy	Electronic	Review	Procurement
	Transfer of Undertakings (Protection of Employment)	Record created	7 years	Procurement department policy	Electronic	Review	Procurement
	Draft ITT	Record created	7 years	Procurement department policy	Electronic	Review	Procurement

	Evaluation of prospective providers (application scoring, moderation meeting minutes/papers)	Record created	7 years	Procurement department policy	Electronic	Review	OPCC, Procurement
	Site visits	Record created	7 years	Procurement department policy	Electronic	Review	Procurement
	Experian checks	Record created	7 years	Procurement department policy	Electronic	Review	Procurement
	Staff vetting	Passed vetting: departure from organisation Failed vetting: date of decision	6 years	Vetting department policy	Electronic	Manual deletion	Force vetting department
	Bidder performance data	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Due diligence checks	Record created	7 years	Procurement department policy	Electronic	Review	Procurement
Tender Award	Intention to award/unsuccessful letters	Record created	7 years	Procurement department policy	Electronic	Review	Procurement
	Feedback to bidders	Record created	7 years	Procurement department policy	Electronic	Review	Procurement
	Reference check	Record created	7 years	Procurement department policy	Electronic	Review	Procurement
	Confirmation of award	Record created	7 years	Procurement department policy	Electronic	Review	Procurement

	Decision Reports for Strategic Priorities Assurance Board	Record created	Indefinitely	Common practice/Business need	Electronic	NA	OPCC
	TAR report	Record created	7 years	Procurement department policy	Electronic	Review	Procurement
	Signed contract	Record created	7 years	Procurement department policy	Electronic	Review	Procurement, OPCC
Contract administration	Contract financial data	Record created	Indefinitely	Common practice/Business need	Electronic	NA	OPCC
	Data Protection Contract/Information Sharing Agreement	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Partnership Agreements	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	New supplier information	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Purchase Orders	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Supplier performance reports	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	General service mobilisation documents (mobilisation plans, logistics, minutes, risk plans etc.)	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC

	Contract management (meeting minutes, agendas, performance data)	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Contract management for externally led contracts (minutes, reports)	Record created	Contract length + 6 years	Common practice/Business need	Electronic	Review	External Lead Commissioning Partner
Contract Extension	Confirmation of supplier desire to extend	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Decision notification from PCC	Record created	Indefinitely	Common practice/Business need	Electronic	NA	OPCC
	Confirmation of extension letter	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
Grants	Application form	Record created	7 years	Common practice/Business need E.g to identify trends in application locations/themes	Electronic	Review	OPCC
	Due diligence checks	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Partner input on grant applicants	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Summary of applicants for executives	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC

	SPA decision reports	Record created	Indefinitely	Common practice/Business need	Electronic	NA	OPCC
	Decision meeting minutes	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Offer letter	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Feedback to unsuccessful applicants	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Grant payment form	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Grant agreement	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Grant monitoring (demographic information of service beneficiaries and evidence of impact of grant)	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
	Impact narrative report	Record created	7 years	Common practice/Business need	Electronic	Review	OPCC
Operations							
Governance and Strategic Planning							

Strategic Priorities Assurance Board	Minutes	Record Creation	Indefinitely	Common practice/Business need	Electronic	N/A	OPCC
	Reports	Record Creation	Indefinitely	Common practice/Business need	Electronic	N/A	OPCC
	Decision Records	Record Creation	Indefinitely	Common practice/Business need	Electronic	N/A	OPCC
	Signed Decision Notices	Record Creation	Indefinitely	Common practice/Business need	Physical Copy	N/A	OPCC
Limited Liability Partnership Board	Minutes	Record Creation	Indefinitely	Common practice/Business need	Electronic	N/A	OPCC
	Reports	Record Creation	Indefinitely	Common practice/Business need	Electronic	N/A	OPCC
Police and Crime Panel	Minutes	Record Creation	Indefinitely	Common practice/Business need	Electronic	N/A	Derbyshire County Council
	Reports	Record Creation	Indefinitely	Common practice/Business need	Electronic	N/A	
JARAC	Minutes	Record Creation	Indefinitely	Common practice/Business need	Electronic	N/A	OPCC
	Reports	Record Creation	Indefinitely	Common practice/Business need	Electronic	N/A	OPCC

	Appointment process files (including application forms, interview reports and adverts)	Decision made about appointment	1 year	National Archive Page 10	Electronic	Manual deletion	OPCC
	Unsuccessful applicants' forms	Processing of application ends	1 year	National Archive Page 10	Electronic	Manual deletion	OPCC
	Personnel files	Volunteer's departure	6 years	Chartered Institute of Personnel and Development	Electronic	Manual deletion	OPCC
	ID Cards	Record creation	3 years	Force vetting procedure	Physical Item	Destroy	OPCC
Independent Custody Visiting Scheme/Dog Welfare Scheme	Reports, minutes and visit statistics	Record Creation	5 years	Common practice/Business need	Electronic	Manual deletion	OPCC
	Visit report forms (Custody Observations, Custody Record Reviews, Dog Welfare Visits)	Record Creation	3 years	Common practice/Business need	Electronic	Manual deletion	OPCC
	Custody Records	Record Received	1 year	Common practice/Business need	Electronic	Manual deletion	OPCC
	Unsuccessful applicants' forms	Processing of application ends	1 year	National Archive Page 10	Electronic	Manual deletion	OPCC
	Appointment process files (including application forms, interview reports)	Decision made about appointment	Volunteer's tenure + 1 year	National Archive Page 10	Electronic	Manual deletion	OPCC
	Personnel files (including appraisals)	Volunteer's departure	6 years	Chartered Institute of Personnel and Development	Electronic	Manual deletion	OPCC
	Training history	Record Creation	6 years	National Archives Page 9	Electronic	Manual deletion	OPCC

	ID Cards	Record creation	3 years	Force vetting procedure	Physical Item	Destroy	OPCC
Engagement							
Public Consultation	Evidence of consultation (questionnaires)	Closing date of questionnaire/survey	2 years	Force Policy	Electronic	Consider longer retention for historic statistics purpose	OPCC
	Analysis of public consultations	Record created	Indefinitely	Common practice/Business need. No personal data stored	Electronic	NA	OPCC
Engagement Volunteers	Appointment process files (including application forms, interview reports and adverts)	Decision made about appointment	1 year	National Archive Page 10	Electronic	Manual deletion	OPCC
	Unsuccessful applicants' forms	Processing of application ends	1 year	National Archive Page 10	Electronic	Manual deletion	OPCC
	ID Cards	Record creation	3 years	Force vetting procedure	Physical Item	Destroy	OPCC
	Personnel files (including appraisals)	Record Creation	6 years	Chartered Institute of Personnel and Development	Electronic	Automatic Deletion	HR
	Training history	Record Creation	6 years	National Archives Page 9	Electronic	Manual deletion	OPCC
Public Events	Photos	Photo taken	Until new PCC elected	Term Length of PCC	Electronic	Review	OPCC
	Attendance lists	Record Creation	Until new PCC elected	Term Length of PCC	Electronic	Destroy	OPCC

	Communications plans (for large/long events)	Record Creation	Until new PCC elected	Term Length of PCC	Electronic	Archive	OPCC
	Contact list for neighbourhood watch meetings	Record Creation	Indefinitely	Common practice/Business need	Electronic	Update when necessary	OPCC
Policing Authority							
Police Authority Committee	Police authority committee meeting papers/reports	Record transferred to OPCC	indefinitely	Transparency of past decisions	Paper archives	Archived	OPCC
	Police authority correspondence and minutes	Record transferred to OPCC	indefinitely	Transparency of past decisions	Paper archives	Archived	OPCC
	Police Authority Contracts	Record transferred to OPCC	indefinitely	Transparency of past decisions	Paper archives	Archived	OPCC
	Police authority member's declaration of interests	Record transferred to OPCC	indefinitely	Transparency of past decisions	Paper archives	Archived	OPCC
	Historic complaints	Record transferred to OPCC	indefinitely	Transparency of past decisions	Paper archives	Archived	OPCC
	ICV training materials	Record transferred to OPCC	indefinitely	Transparency of past decisions	Paper archives	Archived	OPCC
	Historic estates deeds, leases and decisions	Record transferred to OPCC	indefinitely	Transparency of past decisions	Paper archives	Archived	OPCC