

Appendix 6
 THE RECORDS AND RETENTION DISPOSAL SCHEDULE.

Function	No.	Description	Recommended Retention Period	Example of records	Notes
ACPO	1				
ACPO and Senior Police Staff		1.1 Appointment of Statutory Officers	Permanent. Transfer to archives when administrative use is concluded.	Summary monitoring & management information relating to: Clerk Commissioner Deputy Commissioner	
		1.2 Appointment process for ACPO Officers (unsuccessful candidates)	Destroy 2 years from closure	Advertisements Application forms Interview reports	
		1.3 ACPO officers records (but see below for exceptions)	Destroy 6 years after termination of employment	Contract; initial job application; changes to terms and conditions; job descriptions.	
		1.4 Termination of employment of an ACPO officer (records required	Destroy when officer reaches age 72 or 12 years after their death,	Annual assessment reports for last 5 years of service; death benefit	

		officer (records required for pension purposes)	whichever is sooner	of service; death benefit nomination forms; copies of death/marriage certificates; personal payroll history; pension estimates and awards; summary record - full name and date of birth, NI number, pensionable pay at leaving, reckonable service, reason for leaving, new employer's name, amount and destination of any transfer value paid, amount of any refund of contributions; resignation, termination and/or retirement letters; added years; AVCs; sick absence records; disciplinary action affecting terms and conditions	
		1.5 Complaints against ACPO Officers	Destroy 6 years after last action	Correspondence	

MPS CULTURE & ORG CHANGE	2				
Professional Standards		<p>2.1 Process involving individual case management and the investigation of complaints and other professional standards issues.</p> <p>2.2 Advice records</p>	<p>Destroy 5 years after last action</p> <p>Review 6 years after last action; if advice sets major precedent consider transferring to archives.</p>	<p>Correspondence Summary reports Details of investigations into complaints</p> <p>Correspondence; file notes; legal notes; instructions to counsel</p>	
Race and Diversity		<p>2.3 The process of monitoring and investigation of MPS policies and processes to ensure that they are compliant with equality legislation/ guidelines and support MPA/MPS vision, mission and value statements</p>	<p>Destroy 5 years after last action</p>		

HR Strategy and Policy		2.4 The process of monitoring and reviewing strategic plans, policies or procedure of the MPS	Destroy 5 years from closure		
Change Programmes		<p>2.5 Process involved in development of change programmes</p> <p>2.6 Implementation of systems used to support the activities of the MPS</p> <p>2.7 Monitoring the implementation of systems used to support the activities of the MPS.</p>	<p>Retain for life of system then destroy</p> <p>Destroy 7 years from closure</p> <p>Destroy 5 years after last action</p>	<ul style="list-style-type: none"> • Implementation plan 	
National Police Reform Programmes		2.8 Statutory returns The process of preparing information to be passed on to Home Office as part of statutory requirements	Destroy 7 years from Closure	<ul style="list-style-type: none"> • Reports to Home Office 	

POLICING	3				
Policing Plan and Corporate Strategy		3.1 Corporate planning and reporting	Permanent - Transfer to archives 5 years after final action.	Policing plans Strategy plans Annual reports	
Operational Policing and policy issues		3.2 Preparing business for strategic consideration by MPS/MPA and making the record of discussion, debate and resolutions	Permanent - Transfer to archives 5 years after final action.	• Strategic management decisions	
Performance Monitoring		3.3 Monitoring and reviewing MPS strategic plans, policies or procedures to assess their performance	Destroy 5 years from Closure		
		3.4 Working Groups/Steering Groups	Destroy 3 years from Closure	Minutes Agendas and reports	

PARTNERSHIP	4				
Partnerships		<p>4.1 Partnership Agreements</p> <p>4.2 Preparing business for partnership and agencies consideration and making a record of discussion, debate and resolutions where the Authority legally owns the record.</p> <p>4.3 Preparing business for external committees' considerations and making the record of discussion, debate and resolutions where we do not own the records</p> <p>4.4 Activities that develop policies, procedures, strategies and structures for the Authority and Partnerships</p>	<p>Retain Permanently</p> <p>Destroy 3 years after last action</p> <p>Permanent – Review for Transfer to archives 5 years after file is closed.</p>	<p>Minutes Agenda and report</p> <p>Minutes of meetings; research; Reports; formal correspondence, recommendations supporting documents, briefing papers and discussion papers</p> <ul style="list-style-type: none"> • Community strategy • Community plan • Community safety plan 	

<p>Consultation and Community Engagement</p>		<p>4.5 Consultation on development of significant policies</p> <p>4.6 Consultation on development of minor policies</p> <p>4.7 PCCG notes, records, Correspondence IAG minutes, supporting papers and correspondence</p> <p>4.8 Information about the Police Authority</p>	<p>Destroy 5 years after last action</p> <p>Destroy 1 year after last action</p> <p>Destroy 2 years after last action</p> <p>When superseded</p>	<p>Developing and promoting Police Authority events</p>	
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Independent Custody Visiting Scheme		4.9 The process of consideration and making the record of discussion, debate and resolutions in relation to the business of the Independent Custody Visiting Scheme	<p>Destroy 6 years after last action</p> <p>3 years after end of appointment</p> <p>Until superseded</p>	<p>Minutes, agendas, reports, Registers of visits,</p> <p>Custody Visitor details.</p> <p>Handbook</p>	
MPS RESOURCES 5					
Budget		<p>5.1 The Authority's Annual budget</p> <p>5.2 Budget development records.</p> <p>5.3 Budget monitoring records</p>	<p>Permanent</p> <p>Destroy 2 years after annual budget adopted</p> <p>Destroy 1 year after end of financial year.</p>	<p>Annual budget Only the final version of the annual budget needs to be kept</p> <p>Unpublished draft budgets; departmental budgets; draft estimates</p> <p>Monitoring of actual revenue and expenditure against budget predictions</p>	

				<ul style="list-style-type: none"> • Draft budgets • Departmental budgets • Draft estimates • Reconciliation • Summaries of accounts 	
Procurement		5.4 Contract management documents - contracts under seal	Destroy 12 years after the terms of contract have expired	Service level agreements; compliance reports; performance reports; minutes and papers of meetings; variations and changes to requirements; extensions; complaints; disputes; quality assessments; quarterly review notes	Statutory (Statute of Limitations)
		5.5 Contract management documents - ordinary contracts	Destroy 6 years after the terms of the contract have expired	Service level agreements; compliance reports; performance reports; minutes and papers of meetings; variations and changes to requirements; extensions; complaints; disputes; quality assessments; quarterly review notes	Statutory (Statute of Limitations)

Human Resources		5.5 Review and monitoring MPS HR			
ISIT		5.6 The process to develop or extend the capabilities of ISIT activities used to support the activities of MPS. 5.7 The process to implement a system used to support the activities of the MPS	Retain for life of system then destroy Destroy 7 years after last action	• Implementation plan	
Property		5.8 Management of the disposal (by sale or write off) process for real property	Destroy 15 years after all obligations/entitlements are concluded. (material re major/significant properties should be reviewed with a view of longer retention)	<ul style="list-style-type: none"> • Legal documents • relating to the sale • Particulars of sale documents • Board of Survey • Tender documents • Conditions of contracts 	

Health and Safety		<p>5.9 Process to monitor safe systems of work within MPS</p> <p>5.10 Process to asses the level of risk</p>	<p>Retain until superseded or process ceases +1 year</p> <p>Destroy 3 Years from last assessment</p>	<ul style="list-style-type: none"> • Risk assessment 	
MPA CORPORATE MANAGEMENT	6				
Committees		<p>6.1 The formal process of preparing business for Members consideration and making the record of discussion, debate and resolutions</p> <p>6.2 Drafts and working papers</p> <p>6.3 Draft minutes</p>	<p>Permanent</p> <p>Destroy 1 year after meeting has taken place.</p> <p>Destroy on completion of agreed document</p>	<p>Minutes, agendas and Reports; Indices; significant briefings</p> <p>Rough/draft/audio minutes/ drafts of reports;</p> <p>Draft minutes</p>	

		6.4 Policy development	Permanent	Policies Standing orders/financial regulations Instructions/procedures Organisation charts	
		6.5 Membership of committees	Destroy 5 years after last action	Lists of members; correspondence	
ISIT		6.6 The internal process to develop or extend the capabilities of ISIT systems used to support the activities of the Authority	Retain for life of system then destroy		
		6.7 The process to implement/ support or administer an ISIT system used to support the activities of the Authority	Destroy 7 years after last action	<ul style="list-style-type: none"> • Implementation plan • ISIT project records • Project briefs; PIDs Project plans	

Facilities Management		6.8 Process of reporting and reviewing assets status	Destroy 2 years after administrative use is concluded that the record supports	<ul style="list-style-type: none"> • Routine returns and reports on asset status • Inventories • Stocktaking • Surveys of usage • Acquisition and disposal reports & proposals 	
		6.9 The process of managing the occupancy of property	Destroy 7 years after the conclusion of the transaction or when superseded	<ul style="list-style-type: none"> • Requests for works, cleaning, etc. • Maintenance Records • Lease management • Theft reports and investigations 	
		6.10 Access control records	Destroy 2 years after last action, NB where records are part of an investigation they should be retained for 7 years after the investigation is completed	<p>CCTV logs; details of problems with CCTV systems; repairs; Key logs; key registers; security data logs; Laptop and mobile phone booking out logs; security equipment handover signing forms Temporary pass log</p>	

Liaison		<p>6.11 The management of routine responses on Authority actions, policy or procedures</p> <p>6.12 The management in summary form of enquiries and complaints directed to Authority</p> <p>6.13 The management of enquiries, submissions and complaints which result in significant changes to policy or procedures</p> <p>6.14 The management of detailed responses on Authority actions, policy or procedures</p>	<p>Destroy 3 years after administrative use is concluded</p> <p>Permanent Transfer to place of deposit after administrative use is concluded</p> <p>Permanent</p> <p>Destroy 6 years after administrative use is concluded</p>	<ul style="list-style-type: none"> • Printed material • Form letters • Registers Correspondence Summary reports Details of investigations into complaints • Reports • Returns • Correspondence • Reports • Returns • Correspondence • ICO 	
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Officer Groups (eg SMT, POG)		<p>6.15 The process of preparing business for strategic consideration and making the record of discussion, debate and resolutions</p> <p>6.16 The process of preparing business for cross departmental or Unit/Team consideration and making the record of discussion, debate and resolutions</p>	<p>Permanent</p> <p>Destroy 3 years from closure</p>	<ul style="list-style-type: none"> • SMT/POG minutes/ reports and other papers considered at the meeting 	
Information management		<p>6.17 Calendar and diaries staff</p> <p>6.18 Contacts details</p> <p>6.19 Service management records</p>	<p>Destroy 1 year after end of calendar year</p> <p>Destroy when new information supplied; when no longer required; on request by data subject</p> <p>Destroy 3 years after last action/closure of file</p>	<p>Electronic and manual diaries/calendars</p> <p>Name, address and telephone number; biographical notes; company/organisation</p> <p>Team meeting minutes; papers; reports; work plans</p>	<p>Statutory (Data Protection Act)</p>

		<p>6.20 The activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information</p> <p>6.21 The management of collections of records transferred to the archives</p> <p>6.22 The process that records the disposal of records</p> <p>Freedom of Information 6.23 The management of Freedom of Information requests where exemptions apply, complaints or appeals are made.</p>	<p>Permanent</p> <p>Permanent</p> <p>Destroy 12 years after last action</p> <p>Destroy 3 years after last action.</p> <p>The request itself, associated records, and any records to which the request applies should not be destroyed until Information Officer is</p>	<ul style="list-style-type: none"> • Classification schemes • Filing indices <p>Depositor files</p> <p>Disposal certificates</p> <p>Requests for Information dealt with under the provisions of the Freedom of Information Act 2000 where: The records are subject to exemptions (partially or wholly),</p>	
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			<p>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 two further years, then destroyed if no further activity has occurred. Should an activity occur within that period, the documentation should become current again</p>	<p>A Public Interest Test has been formally applied,</p> <p>A complaint has been made to Information Officer 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>	
Media and Communications	6.24 The process of designing setting information for publication	6.25 The published work of the Authority	<p>Destroy 3 years from last action</p> <p>Destroy after administrative use is concluded Note: One copy from the initial print run</p>	<p>Email Media releases Internal publications</p> <p>Flyers, leaflets and other such event promotional material</p>	

			should go directly to the archive.		
		6.26 Media Relations Process of interaction with the media	Destroy after administrative use is concluded	Email communications Telephone notes/messages	
		6.27 Media publications concerning the Authority	Permanent. Transfer to place of deposit after administrative use is concluded	Press releases Media reports Annual reports Policing Plans	
		6.28 Marketing The process of developing and promotion of Authority campaigns and events	Destroy 3 years after administrative use is concluded	Plans, business case, approval documents	

Finance		6.29 Annual statement of accounts	<p>Permanent. Transfer to place of deposit after administrative use is concluded</p>	<ul style="list-style-type: none"> • Consolidated annual reports • Consolidated financial statements • Statement of financial position • Operating statements • General ledger 	
		6.30 Periodic statements and reports. Does not include journals and subsidiary ledgers and cash books	Destroy 2 years after end of financial year	<ul style="list-style-type: none"> • Consolidated monthly & quarterly reports • Consolidated monthly & quarterly financial statements • Working papers for the preparation of the above • Monthly accrual statements • Cashflow statements • Creditor listings and reports • Debtor listings and reports 	

		<p>6.31 Management of the approvals process for purchase, including investigations</p>	<p>Destroy 7 years after the end of the financial year in which the records were created</p>	<ul style="list-style-type: none"> • Delegation of Authority • Appointments & delegations • Arrangements for the provision of goods and/or services 	
		<p>6.32 Accountable processes relating to payment of employees</p>	<p>Destroy 7 years after the conclusion of the financial transaction that the record supports</p>	<ul style="list-style-type: none"> • Authority sheets • Payroll deduction authorities • Payroll disbursement • Employee pay records • Employee taxation records 	
		<p>6.33 Budget development records</p>	<p>Destroy 2 years after end of financial year</p>	<p>Unpublished draft budgets; departmental budgets; draft estimates;</p>	
		<p>6.34 Budget monitoring records</p>	<p>Destroy 1 year after end of financial year</p>	<p>Monitoring of actual revenue and expenditure against budget predictions</p>	

		6.35 Reconciliation records	Destroy 2 years after end of financial year	Reconciliations; summaries of accounts	
		6.36 Treasury Management	Destroy 6 years after end of financial year	Published Annual Strategy Report, half year and year end performance reports; statements; correspondence	
Health and Safety		6.37 Process of inspecting equipment to ensure it is safe	Destroy 6 Years from destruction of the equipment	• Equipment inspection records	Statutory
		6.38 Accident books/Accident reports	Destroy 5 years after last entry		Statutory
		6.39 Risk assessments	Destroy 3 years after assessment is superseded		Statutory
Corporate Strategy		6.40 The corporate planning and reporting activities of the Authority	Permanent	<ul style="list-style-type: none"> • Corporate Plans • Strategy Plans • Business Plans • Annual Reports 	

Organisational Review		<p>6.41 Activities that develop policies, procedures, strategies and structures for the Authority</p> <p>6.42 The process of monitoring and reviewing strategic plans, policies or procedure to assess their compliance with guidelines</p> <p>6.43 Development of organisational structure</p> <p>Public Consultation 6.44 The process of consulting the public and staff in the development of significant policies of the Authority</p>	<p>Permanent</p> <p>Destroy 5 years from closure</p> <p>Review for transfer to archives 5 years after superseded</p> <p>Destroy 5 years from Closure</p>	<ul style="list-style-type: none"> • Policy, procedure, precedent, instructions • Organisation charts • Records relating to policy implementation and development <p>Organisation charts; correspondence regarding restructuring</p>	
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		6.45 The process of consulting the public and staff in the development of minor policies of the Authority	Destroy 1 year from closure		
Human Resources		6.46 Employee records – health and sickness	Destroy when employee reaches age 72 or 12 years after their death, whichever is sooner	Sickness absence records; health declaration/pre-employment health screening, records of major injuries received in the workplace	Statutory
		6.47 Employee records (see exceptions below)	Destroy 6 years after termination of employment	Summary information: Name; DOB; NI Date of appointment Work history details Position/designation Titles & dates held Contract; initial job application; changes to terms and conditions; job descriptions and jobs held within MPA	

		6.48 Employee records required for pensions purposes	Destroy when employee reaches age 72 or 12 years after their death, whichever is sooner	Summary information as above and annual assessment reports for last 5 years of service, death benefit nomination forms, copies of death/marriage certificates; personal payroll history; pension estimates and awards, transfer value. NB – this listing is not exhaustive.	
		6.49 Equal opportunities monitoring records	Destroy 3 years after end of year received	Monitoring forms	
		6.50 Employee Relations Identification & development of significant directions concerning employee relations matters	Permanent.. Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Generic agreements and awards • Negotiations • Disputes • Claims lodged 	

	<p>6.51 Liaison processes of minor and routine employee relations matters</p> <p>6.52 Disciplinary - Oral Warning</p> <p>6.53 Disciplinary - Final Warning</p> <p>6.54 Disciplinary - Written Warning</p> <p>6.55 Disciplinary – Warning involving children</p> <p>6.56 Grievance records</p>	<p>Destroy 2 years after administrative use is concluded</p> <p>Destroy record after 6 months</p> <p>Destroy record after 18 months</p> <p>Destroy record after 1 year</p> <p>Permanent/ retain on employee file until file is destroyed</p> <p>NB The above warnings to be removed & destroyed after the relevant time has 'spent'.</p> <p>Destroy immediately after the grievance has been found to be have been unfounded; or after appeal</p>	<p>• Daily employee relations management</p> <p>• Disciplinary and grievances investigations where proved.</p> <p>Correspondence from staff member raising concern; responses; minutes of meetings</p>	
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		<p>6.57 Recruitment The selection of an individual for an established position</p>	<p>Destroy 1 year after recruitment has been finalised (For letter of appointment for successful candidate use employment conditions)</p>	<ul style="list-style-type: none"> • Advertisements • Applications • Referee reports • Interview reports • Unsuccessful applicants 	
		<p>6.58 Financial reward</p>	<p>Destroy 7 years after action completed (All records relating to actual payments are dealt with under finance)</p>		
		<p>6.59 Termination The process of termination of staff through voluntary redundancy, dismissal and retirement</p>	<p>Destroy 6 years after termination If a pension is paid then records should be destroyed 6 years after last payment of pension</p>	<p>Resignation</p> <ul style="list-style-type: none"> • Redundancy (Section 188) • Dismissal • Death • Retirement 	

	<p>6.60 Performance monitoring records</p> <p>6.61 Personnel records held by line managers</p> <p>Training and Development 6.62 Routine staff training processes, not occupational health and safety related</p>	<p>Destroy 5 years after end of monitoring</p> <p>Destroy 2 years after last action (maximum – can be destroyed at anytime before)</p> <p>Destroy 2 years after action completed</p>	<p>Performance reviews, training and development needs identification</p> <p>Performance review notes; notes of one-to-one meetings</p> <p>Course individual staff assessment</p>	
Equal Employment Opportunities	<p>6.63 The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guidelines policies</p>	<p>Destroy 6 years after action completed</p>		

		6.64 Policies and Procedures	Destroy 6 years after superseded	Equalities policies and toolkit	
Members		6.65 Appointment	Destroy 6 years after ceases to be member	Personnel files	
		6.66 Attendance records	Destroy 2 years after date of appointment	Application forms, interview notes.	
		6.67 Registers of Members' interests and hospitality	Permanent	Attendance sheets Committee membership	
		6.68 Personal Development Review	Permanent	Register of Interests/Register of Hospitality	
			Destroy 5 years after date of appointment	PDR – notes of meetings and records of development	

		6.69 Calendars and diaries – Chair and Deputy Chairs	Destroy at end of term of office	Outlook calendars; equivalent paper diaries or calendars	
		6.70 Calendar and diaries Assembly members	Destroy 1 year after end of calendar year	Outlook calendars; equivalent paper diaries or calendars	
AUDIT, SCRUTINY AND REVIEW	7				
		7.1 The process of monitoring or reviewing the quality, efficiency, or performance of the Authority	Permanent	HMI reports Statutory Inspections, reviews and internal audit reports. Review and Assessment of Police Authority	
		7.2 The process of assessing the quality, efficiency, or performance of the Authority	Destroy 3 years after report is published	Assessment forms	

	7.3 The process of internal audit investigations.	Destroy 7 years after the end of the financial year in which the records were created	• Audit investigations	
	7.4 Best Value reports	Destroy 5 years after publication of report		
	7.5 Best Value working papers	Destroy 2 years after publication of report		
	7.6 Scrutiny meetings records (final version)	Permanent		
	7.7 Scrutiny meetings – drafts and working papers	Destroy 1 year after inquiry is completed.		
	7.8 Conference management records	Destroy 2 years after end of conference	Planning of conference, correspondence, attendance lists	
	7.9 Organisation of event records	Destroy 6 years after event		Statutory

GOVERNMENT & OTHER BODIES	8	8.1 Statutory returns The process of preparing information to be passed on to central government as part of statutory requirements	Destroy 7 years from closure	• Reports to central government	