

CUMBRIA POLICE AUTHORITY

FREEDOM OF INFORMATION ACT 2000

RETENTION AND DISPOSAL SCHEDULE

Introduction

The attached Schedule has been prepared to support the Authority in meeting its obligations under the Freedom of Information Act, and covers records and information from creation to destruction or retention, as appropriate.

Objectives

The objectives of the Schedule are to:-

- Assist in identifying records that may be worth preserving permanently
- Prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration
- Provide consistency for the destruction of those records not required permanently after specified periods
- To promote improved Records Management practices within the Authority

Destruction of Records

Whenever there is the possibility of litigation, the records and information that are likely to be affected should not be amended or disposed of until the threat of litigation has been removed.

When records identified for destruction are destroyed, a register of such documents will be maintained. For any further information please contact:-

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Reviewing the Schedule

The attached Schedule prescribes retention periods for various types of documents and it is the intention that this Schedule will be reviewed on an annual basis.

Approval of Schedule

This Retention and Disposal Schedule was approved by the Police Authority at its meeting held on 16th December, 2004.

1. DEMOCRATIC PROCESSES

<u>Authority, Committee and Board Meetings</u>			
<u>Ref. No.</u>	<u>Function Description</u>	<u>Retention Action</u>	<u>Example(s) of Record(s)</u>
1.1	The process of preparing business for Authority consideration and recording the discussion, debate and resolutions i.e. agenda, reports and minutes. (Meetings to include all formal Police Authority, Committee, Working Group and Consultation Forums.	Retain for period of 6 years, ending on the 6 th anniversary of 30 th June following the date of the meeting.	Agenda. Minutes. Reports Background Documents. Action Sheets. Terms of Reference/Scheme of Delegation.
1.2	General correspondence arising from any of the above mentioned meetings.	Retain for period of 2 years after date of appropriate meeting.	Letters. Forms.
1.3	Representation on the Police Authority (including Councillors, Magistrates and Independent Members).	Retain for period of 3 years after period of appointment expires.	Letters. Application Forms. (where appropriate). References.
1.4	Process relating to the ethical framework of the Police Authority.	Retain for period of 2 years after period of appointment expires.	Code of Conduct. Code of Conduct Undertaking. Register of Interests. Register of Gifts and Hospitality.

2. MANAGEMENT AND ADMINISTRATION

<u>Ref. No.</u>	<u>Function Description</u>	<u>Retention Action</u>	<u>Example(s) of Record(s)</u>
2.1	Corporate planning and reporting activities of local authorities.	Retain for period of 5 years after adoption of Plan, Strategy, etc.	Annual Report. Policing Plan Corporate Plan
2.2	Activities that develop, performance policies, procedures, services strategies and structures for the Police Authority.	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 for the Police Authority.	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 Police Authority.	Retain for period of 5 years.	Letters. Forms.
2.8	Management of routine correspondence with the Police Authority.	Retain for period of 2 years.	Letters. Circulars. Printed Material.
2.9	Process of monitoring/recording quality, efficiency, or performance of the Police Authority.	Retain for period of 7 years.	Best Value Review. Performance Improvement Plan.
2.10	Process of assessing quality, efficiency or performance of the Police Authority	Retain for period of 7 years.	Assessment Reports.

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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.

3. LEGAL AND CONTRACTS

<u>Ref. No.</u>	<u>Function Description</u>	<u>Retention Action</u>	<u>Example(s) of Record(s)</u>
3.1	Process of managing, undertaking, or defending for or against litigation on behalf of the Police Authority.	Retain for period of 7 years (after last action in case).	Criminal 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.	Copies (originals held by Constabulary)
3.5	Contract operation and monitoring.	Retain for period of 2 years after terms of contract have expired.	Service Level Agreements.

4. HUMAN RESOURCES

<u>Ref. No.</u>	<u>Function Description</u>	<u>Retention Action</u>	<u>Example(s) of Record(s)</u>
4.1	Process management systems that allow monitoring and management of Chief Officer appointments in Cumbria Constabulary.	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 in Cumbria Constabulary.	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 Members of the Police Authority.	Retain for period of 6 years after completion.	Individual Assessment Forms.
4.5	Training/development for Police Authority staff.	Retain for period of 6 years after completion.	Individual Assessment Forms.
4.6	Selection processes for Police Authority staff.	Retain for period of 12 months after selection process.	Adverts Application Forms References. Interview Reports. Unsuccessful Candidates.
4.7	Police Authority staff personnel files	Until age 72	Career details. Training history. Health declarations.
4.8	Member and Police Authority staff travel and subsistence claims and authorisations (copies)	6 years	Completed claim forms.

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5. FINANCIAL MANAGEMENT

NOTE: All the Authority's financial management records are held by the Constabulary.

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6. PROPERTY AND LAND MANAGEMENT

NOTE: All the Authority's Property and Land Management records are held by the Constabulary. The Authority only retains copies of conveyancing documents sent to it for sealing – see Section 3, "Legal and Contracts", sub section 3.4.

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