

<b>Dorset OPCC Document Retention Guide</b>			
<b>Function</b>	<b>Records</b>	<b>Review Period</b>	<b>Owner</b>
<b>Statutory Requirements</b>			
Annual reports owned by the PCC	PCC's Annual Report	Permanent	Head of Policy & Commissioning
	PCC's Annual Engagement Report	Permanent	Head of Communications and Engagement
Chief Constable Appointment	Advertisements	1 year	Chief Exec / Director of Operations
	Application forms- successful / unsuccessful	Retained by Dorset Police for 12 months; retained by Dorset OPCC for four years after the last contact.	Chief Exec / Director of Operations
	Interview reports successful & unsuccessful	1 year	Chief Exec / Director of Operations
	Personnel files	Until age 100 (consider 85 years of age for non-pay / pension records)	Chief Exec
	Sickness Records	Until aged 72	Chief Exec
Chief Constable Leaving	Resignation, redundancy, dismissal, death, retirement	Until death + 5 years	Chief Exec / Director of Operations
Chief Constable complaints	Correspondence	8 years	Chief Exec / Governance & Contact Manager
Conduct Complaints Dorset Police Officers or staff	Records relating to the investigation of personnel who may have committed a criminal offence or behaved in a manner which would justify disciplinary proceedings Conduct incidents should be MoPI graded 1-3 based on the offence which is being investigated (regardless of whether the incident is officially crimed) and reviewed and retained in line with MoPI. This means that the officer/staff member's record will be retained	Retained by Dorset Police (not OPCC), unless conduct complaint relates to OPCC staff. Minimum of 6 years and review in line with MoPI <a href="http://www.legislation.gov.uk/ukdsi/2008/9780110835174/regulation/58">http://www.legislation.gov.uk/ukdsi/2008/9780110835174/regulation/58</a> (see NPCC National Guidance on the minimum standards for the Retention and Disposal of Police Record)	Chief Exec / Governance & Contact Manager
<b>Statutory Requirements (continued)</b>			

<b>Function</b>	<b>Records</b>	<b>Review Period</b>	<b>Owner</b>
Conduct Complaints OPCC staff	Correspondence	6 years	Chief Exec / Director of Operations
Conduct Complaints – Chief Executive	Correspondence	6 years	PCC/ Director of Operations
Police Appeals Tribunals	Correspondence, Summary reports Details of investigations into complaints	6 years after completion of hearing	Chief Exec/ Director of Operations/ Governance & Contact Manager
Corporate planning and reporting	Policing plans	3 years	Head of Policy & Commissioning / Chief Exec
	Strategy plans	3 years	
Gifts and Hospitality	Register of Gifts and Hospitality (reported quarterly to EAC)	6 years	Scrutiny Manager
Independent Custody Visiting Scheme	Minutes, agendas, reports,	6 years	Governance & Contact Manager
	Registers of visits	6 years	
	Custody Visitor details	6 years after resignation	
	Handbook	Until superseded	
Information management	Records of transfer to archives	Until superseded	Governance & Contact Manager / Scrutiny Manager / Head of Policy & Commissioning / Head of Comms & Engagement
	Freedom of Information requests	6 years from date of request	Governance & Contact Manager
		<a href="http://www.legislation.gov.uk/ukpga/2000/36/contents">http://www.legislation.gov.uk/ukpga/2000/36/contents</a>	
	Data Protection Subject Access requests	6 years after request	Scrutiny Manager
		<a href="https://ico.org.uk/for-organisations/guide-to-freedom-of-information/what-is-the-foi-act/">https://ico.org.uk/for-organisations/guide-to-freedom-of-information/what-is-the-foi-act/</a>	

Function	Records	Review Period	Owner
<b>Statutory Requirements (continued)</b>			
Notification of Disclosable Interest Forms and Related Party Disclosure Forms	Completed forms	6 years	Governance & Contact Manager / Personal Assistant to PCC
PCC Papers	Electronic copies	Permanent	Personal Assistant to SMT
Policy development	Policies		Governance & Contact Manager, Scrutiny Manager, Head of Policy & Commissioning / Chief Executive / Director of Operations
	Instructions/procedures	Until superseded	
	Organisation charts		
	Standing orders/financial regulations	3 years	Governance & Contact Manager / Chief Finance Officer
Policy / strategy review		3 years	Chief Executive
Public consultation	Records, correspondence and supporting papers	+ 4 years after collection of data	Head of Communications and Engagement
Statutory Inspections, reviews and external audit reports	HMICFRS reports External audit	Permanent 7 years	Chief Exec / Director of Operations
Statutory returns (PCC responses to HMICFRS / Returns for commissioning funds.)	Reports to Central Government	7 years	Scrutiny Manager / Commissioning Manager

Function	Records	Review Period	Owner
<b>Legal &amp; Contracts</b>			
Advice	Correspondence	3 years	Chief Executive
Agreements (saved here \\R-FSHQ01\DP_PCC\GOVERNANCE & CONTACT\EXECUTIVE SUPPORT\AGREEMENTS)	Service level agreements	7 years after agreement expires	Head of Policy & Commissioning
Contracts with suppliers (some are saved in above link, others are held on the Bluelight procurement system, which is managed by Dorset Police)	OPCC Contracts	6 years minimum from end of contract (subject to contract terms and conditions)	Head of Policy & Commissioning
Police Authority / PCC Buildings and Land Deeds	All Property Deeds are held in fireproof safe (including freehold, leasehold and PFI). Deeds are kept until the end of the lease or until the property is sold. All property is vested in or owned by the Police & Crime Commissioner. Where a property is sold or vacated all documentation is retained for 6 years and then destroyed unless there is an encumbrance on title e.g., a police house can have overage on it for 20 years	6 years after sale or vacation of the property Deeds of Arrangement Act 1914 Section 10 Update land registry when necessary	Estates Surveyor holds the property deeds; the PCC is the owner in the sense that properties are vested in or owned by the PCC
	Documents/ information relating to the ownership of buildings and land property plans and records of work etc.	Until the sale of the property	
Log of transactions under seal		Permanent	Governance & Contact Manager

Function	Records	Review Period	Owner
<b>Human Resources</b>			
Accidents at work	Accident report forms / Accident books	6 years	Chief Executive
		The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995, Regulation 7	
Accidents at work	Employers Liability Claims	6 years	Chief Executive
		Health & Safety Executive Limitations Act 1980	
Accidents at work	Reportable injuries diseases and dangerous occurrences	6 years Health & Safety Executive	Chief Executive
		<a href="#">The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995, Regulation 7</a>	
Annual Leave Records (kept on an electronic system by Dorset Police)		Annual leave requests to be deleted by line managers as / when new requests are received	Director of Operations
		<a href="#">Office Manager National Archives Page 10</a>	
Complaints Records	Records relating to an expression of dissatisfaction by a member of the public about the conduct of a service member of the OPCC	6 years from end of sanction / closure of investigation (whichever is longest)	Chief Executive Can be retained beyond 6 years where the staff member has received further complaints since the last incident and this shows a pattern of behaviour.
Discipline / Grievance investigations	Discipline / Grievance records /	2 years (minimum)	Line Manager / Chief Executive
	Equal opportunities, sexual/ racial harassment		

Function	Records	Review Period	Owner
<b>Human Resources (continued)</b>			
Employment Tribunal	Records and files	6 years from conclusion of case (The Employment Tribunals (Constitution and Rules of Procedure) Regulations 2013, Regulation 14)	Chief Executive
Health & Safety Records	Audits, safety inspections, maintenance control measures, fire certificates, precautions, services, inspection reports, risk assessments etc.	5 years	The OPCC offices are maintained by Dorset Police's Estates Team (various regulations)
ID Cards	Remain the property of Dorset Police and must be handed back on leaving employment	Upon leaving employment of the OPCC	
Personnel Records	Relating to Individuals Service Records	Until age 100	
		Consider 85 years of age for non-pay / pension records	
		National Archives Page 10	
Recruitment	Advertisements, application forms, references, interview reports	1 year	Chief Executive
Sickness Records		Until age 72	
		National Archives Employee Personnel Records Page 13	
Training Records / Certificates	Record of Training received by the Individual (held within the individual's Personnel file)	Until 100	Director of Operations
Vetting (records retained by Dorset Police Vetting Office, not the OPCC)	10 years from date of request	CRB Quality Assurance Framework	Chief Executive

Function	Records	Review Period	Owner
Vetting – Temporary Staff and Contractors (as above, records retained by Dorset Police Vetting Office, not the OPCC)	Non Police Personal Vetting	End of contract + 1 year	

Function	Records	Review Period	Owner
<b>Financial Matters</b>			
Annual reports	Annual statement of accounts for PCC and Group	Permanent	Chief Finance Officer
Approvals/purchase	Purchase / sales invoices (retained by Finance)	7 years	
Asset monitoring & maintenance	Asset registers and Inventories Acquisition & disposal reports Service records	Until superseded 7 years after sale or disposal	
Audit - Internal Audit	Internal Audit Reports- main financial & subsidiary systems	6 years	Head of Alliance Audit, Insurance and Strategic Risk Management
	Value for money studies Working papers	6 years	Head of Alliance Audit, Insurance and Strategic Risk Management
	Follow up audits	7 years / HMRC	Chief Finance Officer
Audit - External Audit	External Audit Reports	7 years / HMRC	Chief Finance Officer
Budget setting (Force & OPCC)	Final annual budget	Permanent	Chief Executive / Chief Finance Officer
	Draft budgets and estimates Quarterly budget reviews	7 years	Chief Executive / Chief Finance Officer
Expenditure	Invoices / receipts – Electronic copies Expenses - Electronic copies	6 years + current	held by Finance Exchequer
	Bank statements Vouchers/ledger	7 years	held by Finance Exchequer
	OPCC Spreadsheet of expenditure	7 years	Chief Finance Officer
Finance reports	Quarterly budget reports Working papers	7 years	Force Chief Finance Officer (Assistant Chief Officer)
Payroll	Claim forms		held by Alliance Finance
	Pay / tax records Summary pay reports	7 years	



Function	Records	Review Period	Owner
Property and Land Management			
Insurance	Insurance policies Correspondence	Permanent (all insurance EL / PL claims need to be kept for minimum of at least 10 years as required to provide 10 years data to insurers; if claim closed 6 years post closure is retention period) Insurance policies permanently <i>indefinitely</i> EI / PL claims vehicle accident data 10 years	Head of Alliance Audit, Insurance and Strategic Risk Management
Property acquisition	Plans (held by Dorset Police)	Permanent	Chief Exec
Property disposal	Legal documents Survey reports Tender documents Conditions of contracts (held electronically or by Dorset Police)	Permanent	Chief Exec

Function	Records	Review Period	Owner
<b>General OPCC Business</b>			
Complaints (see NPCC National Guidance on the minimum standards for the Retention and Disposal of Police Record) see also page 2 above	Complaints about Dorset Police or its officers (excluding the Chief Constable) Records relating to an expression of dissatisfaction by a member of the public about the conduct of a serving member of the police	6 years from end of sanction/closure of investigation (whichever is longest) At the discretion of PSD records can be retained beyond 6 years where the officer/staff member has received further complaints since the last incident and this shows a pattern of behaviour.	Governance & Contact Manager
Correspondence	General correspondence / queries	3 years after last correspondence (7 years if civil litigation may apply)	Governance & Contact Manager
Diaries and calendars	Electronic and diaries/calendars	1 year (unless retention for longer is justified)	All
Contacts	Electronic contacts stored in Outlook	To be updated in line with updated Business Continuity Plan annually	All
Contact details from Consultation and Engagement		6 years post campaign	
Marketing	Developing and promoting OPCC events Information about the OPCC	1 Year Until superseded	Governance & Contact Manager
Media relations	Media releases	6 years post campaign	Head of Communications & Engagement
Engagement including digital media	Photograph	6 years post campaign	
Independent Audit Committee	Agenda, papers, minutes and action lists	6 years	Administrative Officer, D&C OPCC
Ethics and Appeals Committee	Agenda, papers, minutes and action lists	6 years	Governance & Contact Manager
PCC Scrutiny Panels (CSI, OoCD, Stop & Search, Use of Force)	Agenda, papers, minutes and action lists	6 years	Governance & Contact Manager and Scrutiny Manager

Function	Records	Review Period	Owner
<b>General OPCC Business (continued)</b>			
Meetings - External meetings (e.g. reports to Police & Crime Panel)	Minutes  Agendas and reports	External meetings held in public to be held for 5 years  Agendas, minutes and reports	Governance & Contact Manager / Head of Policy & Commissioning
Meetings - Public meetings	Minutes, agendas & reports	Permanent	Staff Officer / Personal Assistant to PCC
Dorset OPCC Risk Register	held on Pentana (see link below) <a href="https://www.pentanarpm.uk/sites/index.jsp?c=367&amp;u=DevonandCornwallPolice">https://www.pentanarpm.uk/sites/index.jsp? c=367&amp;u=DevonandCornwallPolice</a>	6 years	Scrutiny Manager / Director of Operations
Scrutiny Panel	Minutes, summary, action list,	6 years then archive	Scrutiny Manager
Scrutiny Panel	Annual Reports (e.g. OoCD Panel Chair's Annual Report)	Permanent	Scrutiny Manager
<b>OPCC Databases (the retention periods listed below are consistent with those on the OPCC Information Asset Register)</b>			
PCC Surgery Case Files		6 years	Policy Manager, Policy and Commissioning
Public Contact Database		6 years	Governance and Contact Manager
Newsletters and messages via Dorset Alert		6-years post campaign, Can unsubscribe at any time	Head of Communications and Engagement
Journalist Database		Delete as soon practical following departure	Head of Communications and Engagement
Employee Contact Details		Delete as soon practical following employee leaving	Governance and Contact Manager
Grants and Contracts Database		6 years	Commissioning Manager
Small Grants Applications		5-years post application	Commissioning Manager
Major Grants Applications		5-years post application	Commissioning Manager
Employee Contracts and Personal Data		(see Personnel Records on page 6)	Governance and Contact Manager

Function	Records	Review Period	Owner
Volunteer Personal Data (including a list of ex volunteers and the dates they served and the role).		2 years post leaving	Governance and Contact Manager