



RETENTION AND DISPOSAL SCHEDULE

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<u>Version Control</u>			
Version	Date	Amended By	Reason for Issue/Amendment
0.1	17/09/19	Joanne Regan, Head of Assurance & Compliance	New policy drafted to ensure GDPR compliance in line with Gwent Police retention schedule, National Archive guidelines and other statutory documentation.
0.2	24/12/19	Joanne Regan, Head of Assurance & Compliance	Consultation with CEx and CFO on proposed retention dates prior to consultation with senior managers and inclusion of appendices.
0.3		Joanne Regan, Head of Assurance & Compliance	Amendments to some areas included in the Schedule after consultation with OPCC senior managers as were covered by other areas.
1.0			Document approved.

INTRODUCTION

1. The Retention and Disposal Schedule (the Schedule) is a tool used to ensure the effective management of business information and identifies the retention periods set for specific and general categories of records and the action which should be taken when records are of no further administrative use.
2. It takes into account the context in which the Office of the Police and Crime Commissioner (OPCC) operates, including the legal and regulatory environment. It also ensures compliance with Section 46 of the Freedom of Information Act 2000 (FOIA), which requires a public authority to manage records in line with guidance issued by the Secretary of State for Digital, Culture, Media and Sport.
3. The Schedule ensures that the same types of records are managed consistently no matter where the record is held, or who created it.
4. The Schedule:
 - supports the OPCC's corporate governance framework;
 - provides clear guidance on the retention and disposal of specific and general categories of information;
 - protects vital information which the organisation needs in order to function effectively;
 - assists in identifying those records of historical importance that may be worth permanently preserving;
 - enables the confident disposal of records which are no longer needed;
 - prevents the premature destruction of records that need to be retained for a certain period to meet legal obligations;
 - ensures information which is subject to FOIA and Data Protection legislation will be available when required;
 - improves accessibility of information and, in turn, efficiency and productivity.

Retention and Destruction

5. All records held by the OPCC should be retained for the periods shown in the Schedule. Each section of the Schedule will be allocated an 'Information Owner'; it will be the responsibility of each Information Owner to ensure that all records held by the OPCC within their sections are kept for the appropriate length of time and are destroyed/preserved accordingly.
6. The retention period specified in the Schedule does not mean that the record should automatically be destroyed after the set date. Instead, the retention period specifies the latest date to re-evaluate the information. At the end of a retention period the Information Owner in conjunction with the Head of Assurance and Compliance and/or Governance Officer will:

- evaluate the business 'value' of the document/information; and
 - either destroy the document/information or if applicable, set a further retention period (see appendix 1).
 - If extending the period of retention for any personal information, the person whose information it is must be informed and permission sought.
7. All emails that are over twelve months old and that have not been saved on the shared drive will be automatically deleted as per Gwent Police policy.
 8. Whenever there is a possibility of litigation or there is a request under the FOIA, 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 FOIA have been exhausted.
 9. The retention periods specified in the Schedule are given in whole years and begin from the following financial year to which the records relate and apply to all formats of records unless otherwise specified.
 10. The Head of Assurance and Compliance will send a six-monthly reminder to all Information Owners to review their allocated records. The Chief Executive will have final approval over all record extension requests.
 11. Where permanent preservation of records is required, a review will be undertaken by the Head of Assurance and Compliance every four years in line with the Police and Crime Commissioner election process to determine if transfer to Gwent Archives is appropriate.
 12. Where records have been identified for disposal they should be disposed of in an appropriate way. Care should be taken to ensure that all records containing personal or sensitive information are disposed of securely. For example, records containing personal information about living individuals should be destroyed in a way that prevents unauthorised access.

Destruction Registers

13. The OPCC maintains a destruction register in the form of a spreadsheet in order to record the destruction of organisational records, regardless of their format.
14. All 'Information Owners' will need to complete a Record Review Form (see appendix 1) when deleting any information they are responsible for.
15. The destruction register (appendix 2) clearly identifies the records disposed of; reason for disposal; date of destruction; name and job title of authorising officer.
16. The Head of Assurance and Compliance is the responsible officer for ensuring that the registers are maintained.

Standard Operating Procedure (SOP)

17. This applies to records which do not need to be kept. Information which is duplicated, unimportant or of short-term use can be destroyed under the Standard Operating Procedure and will not be recorded in the destruction registers. Types of records include:

- compliment slips;
- catalogues, magazines, newsletters and trade journals;
- telephone message slips;
- non-acceptance of invitations;
- trivial emails or notes not related to OPCC business;
- out of date distribution lists;
- working papers and drafts which lead to a final report;
- duplicated and superseded material such as manuals and address books;
- hard copies of documents if an electronic version is kept;

Maintenance of the Schedule

18. The Schedule will be maintained by the Governance Officer who will make amendments and additions as appropriate. Any changes will need approval by the Chief Executive.

Appendix 1



Record Review Form
for Disposal-Retention

Appendix 2



Record Disposal
Register.xlsx