



Surrey Police Authority

Disposal and Retention Schedule

Revised December 2009

Surrey Police Authority Retention Schedule

1. Introduction

1.1 The Surrey Police Authority is committed to operating in an open and transparent manner.

1.2 In order to comply with the Freedom of Information Act (FOIA) the Authority must ensure that a procedure for the retention and disposal of records, held by the Authority, is in place.

The procedure provides guidance on how records should be maintained and for how long, to ensure the Authority is in line with the provisions of a code of practice on records management issued by the Lord Chancellor under Section 46 of the Freedom of Information Act (2000). Information can then be easily retrieved to deal readily with Freedom of Information requests.

2. Purpose

2.1 The purpose of this procedure is to:

- prevent the premature destruction of records
- provide consistency of preservation/destruction
- improve record management

3. Retention Schedule

3.1 All records held by the Authority should be retained for the periods shown in the attached schedule. The Records Administrator will be responsible for ensuring that all records held by the Authority are kept for the appropriate length of time and are destroyed according to the time specified in the attached retention schedule.

3.2 All review periods are given in whole years and are from the end of the financial year to which the records relate. Records should be disposed of by shredding / arranging for collection as confidential waste for destruction by the appropriate body and this should also include all back-up copies on alternative media.

3.3 Note: Whenever there is a possibility of litigation or a request under the Freedom of Information Act 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 Freedom of Information Act have been exhausted.

3.4 The review period specified in the attached schedule does not mean that the document/or information should be destroyed after the set date. The retention period specifies the latest date to re-evaluate the information. At the end of a review period the main user, in conjunction with the Records Administrator will:

- Evaluate the business 'value' of the document/information; and

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- Either destroy the document/information or set a further review period.

3.5 Where appropriate, information can be retained electronically including email, personal or shared hard drives, DVD or off-site storage. It is not necessary to make information stored in this way 'instantly' retrievable. It will be sufficient to ensure that information is accessible through the Authority's systems.

4. Standard Operating Procedure

4.1 This applies to records which do not need to be kept at all. Information which is duplicated, unimportant or of short term use can be destroyed under the Standard Operating Procedure, including:

- compliments slips
- catalogues and trade journals
- telephone message slips
- non-acceptance of invitations
- trivial e-messages or notes not related to Authority business
- requests for stock information such as maps, plans or marketing material
- out of date distribution lists
- working papers which lead to a final report (including Committee papers)
- duplicated and superseded material such as stationery, manuals, drafts, address books and reference copies of annual reports
- e-copies of documents where a hard copy has been printed and filed
- Members' attendance returns

4.2 All these records can be destroyed, except where these may be used as evidence to prove that something happened.

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REVIEW PERIODS

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2. Members services
3. Management and administration
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6. Financial Management
7. Property and land management
8. General

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1. POLICE AUTHORITY BUSINESS

Function	Records	Review Period	Owner
Committee and public meetings	Minutes, agendas and reports Indexes	Permanent	Erika Faris (Committee & Member Services Officer)
	Rough/draft/audio minutes	1 year after completion of book	Erika Faris (Committee & Member Services Officer)
External meetings (where the Authority does not own the record)	Minutes Agendas and reports	External meetings held in public to be held for 1 year Agendas, minutes and reports from External meetings held in private would be the subject of a FOI request.	Relevant Policy Officer
SPA Panel Meetings	Minutes Agendas and reports	5 years	Policy Officers
Best Value Review Projects	Minutes, agendas Supporting documentation	7 years	Johanna Burne (Senior Policy Officer)
Appointment of Force Chief Officers	Advertisements	2 years	Paul Rowan Communications & Events Officer
	Application forms- successful	6 years from date of last pension payment	Alison Bolton (Acting CE) &

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	Application forms- unsuccessful	1 Year	Rachel Lupanko (Office Manager)
	Interview reports successful & unsuccessful	1 year	Alison Bolton (Acting CE) & Rachel Lupanko (Office Manager)
	Personnel files	6 years from date of last pension payment	Alison Bolton (Acting CE) & Rachel Lupanko (Office Manager)
Leaving of Force Chief Officers	Resignation, redundancy, dismissal, death, retirement	6 years after termination or after last pension payment	Alison Bolton (Acting CE) & Rachel Lupanko (Office Manager)
Complaints against Force Chief Officers	Correspondence	8 years	Alison Bolton (Acting CE)
Police Appeals Tribunals	Correspondence Summary reports	2 years after completion of hearing	Alison Bolton (Acting CE) &

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	Details of investigations into complaints		Rachel Lupanko (Office Manager)
Annual reports owned by the Police Authority		Permanent	Alison Bolton (Acting CE)
Correspondence	Complaints & Queries	1 year after last correspondence	Rachel Lupanko (Office Manager)
Independent Custody Visiting Scheme	Minutes, agendas, reports, Registers of visits Custody Visitor details	6 years 6 years 6 years after resignation	Nicola Hall Scheme Manager
	Handbook	Until superseded	
Corporate planning and reporting	Policing plans Strategy plans	3 years 3 years	Policy Officers/ Alison Bolton (Acting CE)
Statutory Inspections, reviews and external audit reports	HMI reports External audit	Permanent 7 years	
Statutory returns	Reports to Central Government	7 years	Policy Officer / Alison Bolton (Acting CE)

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2. MEMBER SERVICES

Function	Records	Review Period	Owner
Declarations of interest at meetings	Book held by Chief Executive	6 years after leaving	Alison Bolton (Acting CE)
Members' personnel Files	Including: Recruitment papers Application forms interview notes Appraisal / Performance review documents Medical records Adjustment to work examinations Sickness records Leave records Resignation, redundancy, dismissal Death or retirement Attendance allowance payment details	6 years after leaving	Alison Bolton (Acting CE)
Independent Members	Unsuccessful applications	1 year	Alison Bolton (Acting CE)
Complaints against Members	Unsubstantiated complaints	1 Year	Alison Bolton (Acting CE)
	Complaints for which an informal resolution has been agreed	4 Years	Alison Bolton (Acting CE)
	Complaints which require investigation and a hearing	8 Years	Alison Bolton (Acting CE)
Attendance records	Attendance Registers Committee membership	2 years after leaving 2 years after leaving	Erika Faris Committee &

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			Member Services Officer
Registers of Members interests and hospitality	Register of Interests Register of Hospitality	6 years after leaving 6 years after leaving	Erika Faris Committee & Member Services Officer
Member Handbook	Material that forms the Member's handbook	Until superseded	Erika Faris Committee & Member Services Officer

3. MANAGEMENT AND ADMINISTRATION

Function	Records	Review Period	Owner
Policy development	Policies Instructions/procedures Organisation charts Standing orders/financial regulations	Until superseded	Alison Bolton (Acting CE) & Rachel Lupanko (Office Manager) Alison Bolton (Acting CE) & Ian Perkin (Treasurer)
Policy / strategy review		3 years	Alison Bolton (Acting CE)
Public consultation	Forum notes, records, correspondence, supporting papers and correspondence	+ 4 years after collection of data	Sarah Haywood (Partnerships Policy Officer) & Paul Rowan (Communications & Events Officer)
Information management	Records of transfer to archives	Until superseded	Erika Faris Committee & Member

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	Freedom of Information requests	2 years from date of request	Services Officer Erika Faris Committee & Member Services Officer & Alison Bolton (Acting CE)
	Data Protection Subject Access requests	1 year after request	Erika Faris Committee & Member Services Officer & Alison Bolton (Acting CE)
Media relations	Media reports	1 year	Paul Rowan (Communications & Events Officer)
Marketing	Developing and promoting Police Authority events	1 Year	Paul Rowan (Communications & Events Officer)
	Information about the Police Authority	Until superseded	
Diaries and calendars	Electronic and diaries/calendars	1 year	All

4. **LEGAL AND CONTRACTS**

Function	Records	Review Period	Owner
Litigation	Correspondence Criminal and civil case files	7 years after last action	Alison Bolton (Acting CE)
Advice	Correspondence	3 years	Alison Bolton (Acting CE)
Agreements	Service level agreements	7 years after agreement expires	Alison Bolton (Acting CE)

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Contract development (ordinary)	Tender specification	7 years after terms have expired	Refer to Surrey Police Retention Schedule- information held on Authority's behalf
Contract development (under seal)	Tender specification	12 years after terms have expired	Refer to Surrey Police Retention Schedule- information held on Authority's behalf
Tenders	Tender envelope	2 years after start of contract	Refer to Surrey Police Retention Schedule- information held on Authority's behalf
Evaluation of tenders (ordinary)	Evaluation criteria Successful tender document	7 years after terms have expired	Refer to Surrey Police Retention Schedule- information held on Authority's behalf
Evaluation of tenders (under seal)	Evaluation criteria Successful tender document	12 years after terms have expired	Refer to Surrey Police Retention Schedule- information held on Authority's behalf
Post tender negotiation	Minutes	2 years after terms of	Refer to Surrey

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	Correspondence	contract have expired	Police Retention Schedule- information held on Authority's behalf
Asset acquisition/disposal	Legal docs relating to purchase/sale Leases Tender documents	7 yrs if under £50,000 12 yrs if over £50,000	Alison Bolton (Acting CE) & Rachel Lupanko (Office Manager)
Log of transactions under seal		Permanent	Alison Bolton (Acting CE)

5. HUMAN RESOURCES – SECRETARIAT STAFF

Function	Records	Review Period	Owner
Recruitment (unsuccessful candidates)	Advertisements, application forms, references, interview reports	1 year	Rachel Lupanko (Office Manager)
Personnel Files	Including: Recruitment papers Probation reports Appraisal / Performance review documents Medical records Adjustment to work examinations Sickness records	6 years from date of last pension payment / leaving date	Rachel Lupanko (Office Manager)

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	Leave records Flexi cards Resignation, redundancy, dismissal Death or retirement		
Discipline investigations	Disciplinary records Grievance records	3 years	Rachel Lupanko (Office Manager)
Employee relations	Contracts	Permanent	Rachel Lupanko (Office Manager)
	Correspondence re. Formal negotiations Correspondence re minor & routine matters	2 years	

6. FINANCIAL MANAGEMENT

Function	Records	Review Period	Owner
Office Management	Contracts with suppliers	3 years from end of contract	Rachel Lupanko (Office Manager)
	Invoices	2 years+ current	Rachel Lupanko (Office Manager)
Annual reports	Annual statement of accounts	Permanent	Ian Perkin (Treasurer)
Internal Audit	Internal Audit Reports- main financial & subsidiary systems Value for money studies	7 years	Ian Perkin (Treasurer)

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	Working papers Follow up audits		
Finance reports	Quarterly budget reports Working papers	7 years	Ian Perkin (Treasurer)
Approvals/purchase	Purchase/sales orders	7 years	Rachel Lupanko (Office Manager)
Expenditure	Invoices/receipts Bank statements Vouchers/ledger	7 years	Rachel Lupanko (Office Manager) Ian Perkin (Treasurer) Ian Perkin (Treasurer)
Payroll	Claim forms Pay / tax records Summary pay reports	7 years	Rachel Lupanko (Office Manager)
Budget setting	Final annual budget Draft budgets and estimates Quarterly budget reviews	Permanent 7 years	Alison Bolton (Acting CE) & Ian Perkin (Treasurer)
Asset monitoring & maintenance	Asset registers Inventories Acquisition & disposal reports Service records	7 years 7 years after sale or disposal	Ian Perkin (Treasurer)

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7. PROPERTY AND LAND MANAGEMENT

Function	Records	Review Period	Owner
Property acquisition	Plans	Permanent	Alison Bolton (Acting CE) & Ian Perkin (Treasurer)
Property disposal	Legal documents Survey reports Tender documents Conditions of contracts	Permanent	Alison Bolton (Acting CE) & Ian Perkin (Treasurer)
Management of buildings of special interest	Project specs Plans Certificates of approval	Permanent	Refer to Surrey Police Retention Schedule-information held on Authority's behalf
Insurance	Insurance policies Correspondence	Permanent	Refer to Surrey Police Retention Schedule-information held on Authority's behalf

8. GENERAL

Function	Records	Review Period	Owner
Health & safety	Risk assessments	Permanent	Alison Bolton (Acting CE) & Rachel

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	Accident books / RIDDOR correspondence fire certificates		Lupanko (Office Manager) Alison Bolton (Acting CE) & Rachel Lupanko (Office Manager) Surrey Police Surrey Police
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