

Retention and Disposal Policy

Policy Statement

The Mayor's Office for Policing And Crime (MOPAC) will ensure that information is not kept for longer than is necessary, and will retain the minimum amount of information that it requires to carry out its statutory functions. This policy should be read in conjunction with MOPAC's Records Management Policy.

Records held by the Metropolitan Police Service (MPS) will be covered by MPS' own policies and procedures.

Aims and Objectives

It is recognised that information is a vital asset of MOPAC, which depends on reliable, up-to-date information systems to support the work that it does and the services provided to Londoners. This policy and standards will help MOPAC to:

- Ensure the retention and availability of the appropriate level of information to remain compliant for MOPAC to operate efficiently and effectively.
- Comply with legal and regulatory requirements, including the Data Protection Bill 2017, Freedom of Information Act 2000, the Data Protection Act 1998 and the Environmental Information Regulations.
- Increase employees' efficiency when retrieving information by reducing the amount of information that may be held unnecessarily.
- Minimise the administrative overhead to MOPAC and save money in terms of storage costs.
- Preserve corporate memory and ensure business continuity.

Record Retention

Retention 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 arranging for collection of confidential waste for destruction or shredding, including all copies in whatever format.

Information needs to be managed for continuity reasons as this will increase operational efficiency through the streamlining of documents. MOPAC's intranet and document management system (Sharepoint) will be used to improve responsiveness in MOPAC by enabling staff to access accurate, up-to-date information and provide a "single version of the truth".

Aside from the standard procedure, set out below, 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. In these circumstances the Chief Executive Officer who is the Monitoring Officer should be consulted.

Corporate and Business digital documents will be retained on Sharepoint which will be filtered by the Sharepoint Administrator, to ensure that it is in-line with the Retention and Disposal Schedule below. Archived documents will also be kept in line with this policy.

Standard Procedure

Information which is duplicated, unimportant or of short term use can be destroyed under this standard procedure, including:

- compliment slips
- catalogues and trade journals
- telephone message slips
- messages or notes not related to MOPAC business
- requests for standard information provided by MOPAC
- out of date distribution lists
- working papers which lead to a final report
- 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

In other words, records which do not need to be retained should be disposed of inline with the standard procedure.

The schedule below sets out the retention periods for particular records which should be retained for the periods shown.

Documents can be held in either hard copy or in electronic format (including scanned documents).

Retention & Disposal Schedule

Function	Example of Records	Retention action
MOPAC Business, Management and Administration		
Meetings (where the MOPAC owns the record – includes formal, partners and external meetings)	Minutes, agendas and reports Appendices General correspondence Hand written notes from Meetings	Permanent Permanent 6 years after date of meeting or last action (<i>if applicable</i>) Destroy on completion of agreed documentation.
External meetings (where the MOPAC does not own the record)	Minutes, agendas and reports	6 years after last action
Working Groups/Steering Groups	Minutes, agendas and reports	6 years after last action
DMPC Decisions	Decision Records	Permanent
Assurance – process of assessing quality, efficiency or performance of the Met	Minutes, agendas, reports, supporting documentation, dip sampling records, Oversight Board etc.	6 years after last action
Complaints Professional standards	Correspondence, Enquiries Summary reports, Details of investigations Police Appeal	6 years after last action. 6 years from date of leaving or retirement 6 years after last action – if advice sets major precedent, consider transferring to archives.

Function	Example of Records	Retention action
Independent Custody Visiting	Minutes, agendas, reports, registers of visits, custody visitor details, expense claims	6 years after last action
	Independent Custody Visitor details	6 years after end of appointment
	Handbook	Until superseded
Corporate Planning and Reporting	Police and Crime Plan, Directorate Plans, Annual Report	Permanent
External audit reports and Reviews	External Audit reports, HMIC reports Correspondence	Permanent 6 years after last action
Governance	Corporate Governance Framework, standing orders/financial regulations	Until superseded
Ethical Framework	Code of conduct	6 years after period of appointment ends
	Register of staff interests, Gifts and hospitality register	Permanent
Allowances/Expenses	Claim forms, letters	3 years after period of appointment ends
Policy Development	Policies, procedures, joint protocols	Until superseded
Public Consultation	Consultation documents including records, questionnaires, correspondence, supporting papers	6 years after close of consultation
Information Management	Filing indices, records of transfer to archives, disposal records	Permanent
	Routine correspondence with ICO	6 years after last action

Function	Example of Records	Retention action
Media Relations	Media reports, press releases	6 years
Marketing	Developing and promoting MOPAC events Information about the MOPAC	6 years Until superseded
Office management	Contracts with suppliers	6 years from end of contract
Diaries and calendars	Electronic and manual diaries/calendars	3 years
Health and Safety	Policies Training documentation, Risk assessments and accident books	Once superseded 6 years after assessment is superseded
Freedom of Information Act requests	Requests and responses received	6 years after last action
Unstructured Records	Records that do not support a business process i.e. there is no existing place for them in the filing structure and non will be created. This applies to paper and electronic formats including emails.	Destroy as soon as use has ceased.
Legal		
Litigation	Correspondence, criminal and civil case files, medical appeal files, employment tribunal files	7 years after last action
Legal Advice	Briefing notes, correspondence, Counsel's opinion	3 years after last action

Function	Example of Records	Retention action
Agreements	SLAs	6 years after agreement expires
Contract development (ordinary)	Tender specification	6 years after terms have expired
Contract development (under seal)	Tender specification	12 years after terms have expired
Tenders	Tender envelopes	1 year after start of contract
Evaluation of tenders (ordinary)	Evaluation criteria, successful tender document	6 years after terms have expired
Evaluation of tenders (under seal)	Evaluation criteria, successful tender Document	12 years after terms have expired
Post tender negotiation	Minutes, correspondence	1 year after terms of contract have expired
Asset acquisition/disposal (non-land)	Legal documents relating to purchase/sale, leases, tender documents	Destroy 6 years if under £50,000 Destroy 12 years if over £50,000
Property disposal	Survey reports, tender documents, conditions of contracts	Destroy 15 years after all obligations end
Insurance	Insurance policies, correspondence	Destroy 7 years after terms expire
HR		
Personnel administration	Employee file – Health and Sickness (including sickness absence records; records of major injuries at work, records of reasonable adjustments made. Employee records - (including contracts,	Age 72 or 12 years after individual dies

Function	Example of Records	Retention action
	probation records, appraisals, references, sickness records and disciplinary records (including warnings and grievance records)	After 10 years of leaving the employment or retirement
Staff recruitment	Advertisements, applications forms, interview notes, references	Unsuccessful - 6 months Successful - 6 years after end of Employment or retirement
Employee relations	Agreements, correspondence re formal negotiations Correspondence re minor and routine matters	Permanent 6 years
Appointment of Non-Executive Advisers, Panel Independent Members (Audit Committee, Ethics Panel)	Personnel files	6 years after appointment ends
Medical records	Medical examinations, adjustment to work examinations	Age 72 or 12 years after individual dies
Staff leave monitoring	Leave records, flexi sheets and or Jury service	6 years
Staff termination	Resignation, redundancy, dismissal, death or retirement	6 years after termination or, if pension paid 6 years after last pension payment
Finance		
Annual reports	Annual statements of accounts	Permanent
Internal inspections	Internal audit reports	6 years after last action
Finance reports	Quarterly budget reports, working papers	Destroy when admin use complete

Function	Example of Records	Retention action
Approvals/purchase year	Purchase/sales orders	Destroy 7 years after end of financial
Expenditure	Invoices, receipts, bank statements, vouchers, ledger	Destroy 6 years after end of financial year
Payroll	Claim forms, pay/tax records	Destroy 7 years after the end of financial year
Budget setting	Final annual budget Draft budgets and estimates	Permanent Destroy 2 years after budget set
Budget monitoring	Quarterly statements	Destroy after next year's annual budget
Asset monitoring and maintenance	Asset registers Inventories	Destroy 7 years after end of financial year Destroy 2 years after admin use.
Taxation records	Taxation records	5 years after end of financial year