



RECORD RETENTION

Standard Operating Procedure

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1. PURPOSE

- 1.1 The purpose of this Standard Operating Procedure (SOP) is to define specific retention rules for the records held by the Police Service of Scotland (PSoS).
- 1.2 The application of these rules will ensure good business practice and also compliance with the relevant legislation and standards including, but not limited to:
 - [The Public Records \(Scotland\) Act 2011](#)
 - [The Freedom of Information \(Scotland\) Act 2002](#)
 - [The Data Protection Act 1998](#)
- 1.3 The retention rules have been produced following consultation with the relevant business areas across Scotland and are based on either relevant legislation or existing good practice within and outwith the Scottish Police Service.
- 1.4 In particular, the objectives of the SOP are as follows:
 - To identify those records worth preserving
 - To identify vital records for business continuity
 - To prevent premature destruction of records
 - To prevent unnecessary retention of records
 - To ensure a consistent approach to record keeping where there are no statutory requirements
 - To contribute to good records management as part of a wider programme
 - To promote public confidence and understanding in records held by the Police Service of Scotland
- 1.5 Further guidance (including forms) is available for former Strathclyde Police staff in Appendix 'G'

2. PROCEDURE

2.1 DEVELOPMENT AND APPLICATION OF THE RETENTION RULES

- 2.1.1 Prior to the existence of this SOP, the relevant guidance with regard to record retention was the ACPOS Recommended Record Retention Schedule.
- 2.1.2 This document was either adopted in full by the former Scottish Forces or used as the basis for the development of a local, Retention Schedule. It is therefore recognised that pre-existing Force agreements and guidance may result in variations or deviations from the rules outlined in this SOP.
- 2.1.3 In such cases, this will be stipulated in the relevant geographical appendix to this document. Likewise, in cases where a local policy has been developed in the absence of any specific provision within these guidelines, this should also be stipulated in the relevant geographical appendix.

- 2.1.4 The ACPOS Recommended Record Retention Schedule was developed over a number of years and, prior to its creation in 2004, the various Scottish Forces/ Agencies/ geographical divisions had addressed record retention individually and had often adopted different retention criteria. This resulted in similar documents being retained for different time periods and, understandably, it may take some time before the effects of previous Force/ agency retention policies no longer apply.
- 2.1.5 This may however, result in records now recommended for retention having previously been destroyed. This is unavoidable however the creation of standard retention rules will ensure greater commonality of approach in the future.
- 2.1.6 The retention rules are separated into broad functional areas within this SOP. Activities may be structured differently in each Local Policing Area, but this should not prevent the application of the rules.
- 2.1.7 The retention rules are intended to be independent of any particular format or media of records and information and cover manual records including paper, microfilm, microfiche, DVDs, audio and video tapes as well as digital information including databases, SMS, mobile data (PDAs), spreadsheets, word processed documents and email. Generally, notwithstanding the method of recording information, the same retention policy should be applied.
- 2.1.8 Retention rules are for master sets of records only. Duplicate records may be destroyed at any point appropriate to the work of the organisation. However, heavily annotated records cannot be considered duplicates and must be maintained using the same rules as the master records.
- 2.1.9 Records whose disposal is recorded as "Archive" may be deposited with the appropriate local Archive Service when their operational and/or administrative usefulness has come to an end. To this end, PSoS will enter into agreements with appropriate Archive Services for the deposit of those records of permanent, ie historical value to the communities we serve.

2.2 RECORD DISPOSAL PROCESS

- 2.2.1 Unless subject to a review or an exemption, records must be disposed of as soon as practically possible once their retention period has ended and this includes backup copies stored on alternative media.
- 2.2.2 Failure to do so will bring the Service into conflict with legislative and regulatory requirements.
- 2.2.3 The rules defined in this SOP do not prevent the retention of individual records in the event of demonstrable ongoing activity - including, for example, requests in terms of the Freedom of Information (Scotland) Act 2002 and the Data Protection Act 1998 among others.
- 2.2.4 Disposal methods will vary depending on the media on which the record is held.

- 2.2.5 The [s.61 Code of Practice under the Freedom of Information \(Scotland\) Act 2002](#) requires a list of destroyed records to be retained (refer to 'Administration 9.5' for further details).
- 2.2.6 This process will vary, depending on for example, whether the records are held within a Service system which automates the disposal process or whether the records are manually disposed of from a shared drive or paper filing system. As a minimum however, the Service must be able to provide evidence that as part of routine records management processes, disposal of a specified type of record of a specified age range took place in accordance with a specified provision of this SOP.
- 2.2.7 In the case of Service systems where the process is automated, the functionality and process should be detailed in the associated documentation. In the case of records manually disposed of, a list must be compiled.
- 2.2.8 When compiling such a list, an assessment must be made as to whether it is appropriate to maintain the record of destruction at file or at series level.
- 2.2.9 Whilst it is appropriate to record the destruction of individual policy files at file level, there are certain police records, for example intelligence files or crime recording data, where it is inappropriate to maintain a record of individual files (which are indexed by name) once they have been destroyed.
- 2.2.10 Consequently, series level descriptions will be used to record destruction of records, particularly in electronic format, where the file title is dependent upon persons' names.
- 2.2.11 Where the decision is to record series level only, the record of destruction should indicate the type of file or dataset, reason for destruction and date of destruction in accordance with [s.61 Code of Practice under the Freedom of Information \(Scotland\) Act 2002](#).
- 2.2.12 Where records that are subject to series level destruction are retained, an exception list will be noted.

2.3 RECORD REVIEW PROCESS

- 2.3.1 Whilst the majority of records listed in the guidelines are to be destroyed at the end of the specified period, others are instead scheduled for 'review'.
- 2.3.2 These records will be assessed for ongoing operational relevance or for historical significance. The review process will determine whether records should be destroyed, retained for a further period before being reviewed again, or preserved permanently.
- 2.3.3 It should be noted that in the case of Crime records and Public Protection records, particular criteria for review are specified in the guidelines.
- 2.3.4 The decision to retain records following a review will be recorded, and the reviewer will stipulate the period after which the records will be reviewed again. The method of recording review outcomes will vary according to record type, but includes:

- Recording an action on the register/ inventory used to control the records (hard copy or electronic)
- Completing a relevant field within an electronic system
- Endorsing the exterior of a hard copy file

2.3.5 The following list of questions is intended to assist staff in the evaluation of records either marked as 'review' within this document or where no specific guidance is provided.

2.3.6 The guidance issued below cannot be substituted for retention periods stipulated in the Retention Schedule as 'Archive' or 'Destroy'. If you feel that the retention in the schedule is not appropriate for particular documents you must contact the Records Manager. If changes have occurred to the way information is collected and documented, resulting in a new set of records, this must be notified to the Records Manager for inclusion in the retention schedule. Therefore this list is not for use with new record series, datasets, etc.

1. Are there any outstanding enquiries about this subject?
Yes Records can be reviewed but under the Fol (2002) Act cannot be destroyed until the enquiry has been completed.
No Go to question 2
2. Is it listed in this Record Retention SOP?
Yes Destroy or archive as instructed by the SOP. If you are unhappy with this guidance or feel circumstances have changed that might affect retention, contact the records manager.
Review, go to question 3
No Go to question 3
3. Is the document the original copy? (i.e. master record, not held on any other format or in any other location)
Yes Go to question 4
No Destroy, the original can be referenced if necessary
4. Is this a new record series?
Yes Contact Records Manager to add to retention schedule
No Go to question 5
5. Does it reflect or impact on the employment of a member of staff
Yes Refer to personnel/complaints/absence/occupational health section of retention schedule
No Go to question 6
6. Does it refer to an accident or injury to either a member of staff or a member of the public? (Including possible insurance claim)
Yes Refer to health & safety section of retention schedule

NOT PROTECTIVELY MARKED

No Go to question 7

7. Is it required as evidence/case-related?

Yes Retain as per the remainder of the case

No Go to question 8

8. Are we legally obliged to keep the document for a specific time?

Yes Use the retention period stipulated in the legislation

No/Don't Know Go to question 9

9. Is there professional guidance or best practice to reference?

Yes Use the retention period stipulated in the guidance

No/Don't Know Go to question 10

10. Is it part of a financial audit trail?

Yes Retain for C + 6 years

No Go to question 11

11. Does it show a change in Service policy?

Yes Archive

No Go to question 12

12. Does it show a major decision or execution of an order?

Yes Retain for C + 5 years

No Go to question 13

13. Does it refer to a particular project?

Yes	Destroy ephemera, working papers, duplicated information, basic administration, arrangements & housekeeping. Archive PID, final report, etc.
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No Go to question 14

14. Is it general correspondence to a member of the public or external agency?

Yes Destroy C + 3 years

No Go to question 15

15. Is the document regularly accessed for work purposes?

Yes Retain and review after 1 year

No Are there any upcoming projects that might use this project? If yes, go to question 16, if no destroy after current year + 2

16. Does it reflect significantly the history of the former Forces or Police Service of Scotland?

Yes Archive

No Go to 17

17. Are the related records and file destroyed?

- Yes Destroy
- No Go to question 18

18. Refer to supervisor and/or Records Manager for advice

3. ROLES AND RESPONSIBILITIES

- 3.1 Records Management are responsible for the regular review of this SOP and will incorporate new categories of records within the document as they emerge over time.
- 3.2 In particular, where records are referred to in a geographical appendix to this document but do not appear in the main document, efforts will be made to consult with the appropriate business areas with a view to agreeing an appropriate, national retention period suitable for inclusion in the SOP.
- 3.3 Officers and staff who identify anomalies or omissions should contact Records Management in the first instance, outlining the issue or their suggestions.
- 3.4 Records Management will consider any proposal, in terms of relevant legislation and best practice, and will update the SOP where appropriate.

4. ADMINISTRATION

Administration - General				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.1	The process of administering staff Annual Leave and TOIL	Current Year + 1		Best Practice - Where leave is recorded in a computerised resource management system, refer to '16 - Operations'
1.2	The process of managing Asset Registers for office equipment & furniture, computer hardware, software & licences, vehicles, etc.	Current Year + 6	Registers, Asset Disposal Forms, Asset Write-Offs	Statutory - as per '8 - Finance'
1.3	The process of collating and administering Building Disaster Plan & Evacuation Procedures	Until superseded	Disaster Plan, Business Continuity Plan	Best Practice
1.4	The process of administering Car Allowances - Essential and Casual	Current Year + 6	Notification of change to allowances	
1.5	The process of administering Car Leasing	Current Year + 6	Contract, Correspondence	Statutory - as per '8 - Finance'
1.6	The process of administering Car Loans	Current Year + 6	Contract, Correspondence	Statutory - as per '8 - Finance'
1.7	Court Lists (copies received)	For either the completion of data quality checks only or for a period up to a maximum of 5 years		Retention should be determined to accord with local procedures
1.8	Executive Management Groups (or equivalent) Records	Archive	Minute, Agenda, Papers, Briefing Papers	Best Practice
1.9	The process of administering staff Flexi-Leave schemes	Current Year		Best Practice
1.10	The process of Service Project Management	Project records - refer to '19 - Projects' Financial Records - refer to '8 - Finance'	Project Initiation Document, Specification, Review & Evaluation Report, Working Papers, Minutes	Best Practice - Particular care should be taken when reviewing these records as the subject may dictate a long retention for all records, eg shift system, uniform, etc.
1.11	Service Working Groups Records	Archive Final Report All other records Review current Year + 2	Report, Minutes, Working Papers, Interim Reports	Best Practice - Particular care should be taken when reviewing these records as the subject may dictate a long retention for all records, eg shift system, uniform, etc.
1.12	The process of administering and managing General Administration Records	Review Current Year + 3	Records that document how the Service functions	Not otherwise included in a schedule
1.13	The process of creating, collating and administering records for Heads of Division, Department and other meetings	Current Year + 3	Minutes, Agenda & Papers	If policy agreed at these meetings, consider permanent retention and offer to Archives

Administration - General				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.14	Joint Police Board/ Police Authority and Sub-Committees' Records	Archive	Minutes, Agenda & Papers, Briefing Papers	Lead council has legal responsibility to maintain the signed master set of these records
1.15	Minute Taking	Destroy after date of confirmation of minutes	Draft/ Rough Minutes, Audio Tapes	Best Practice
1.16	The process of administering Money Seizures	Current Year + 5	Correspondence, Reports, Working Papers	End date = date seizure goes to Joint Board/Police Authority
1.17	Ephemera - Non essential administrative records/ communications/ reference materials	Destroy routinely	Compliments Slips, Catalogues/ Trade Journals, Message Slips, Declined invitations, Trivial email messages, Distribution Lists, Rough Working Papers	Best Practice
1.18	The management of the Service Museum(s) or historical object collection, donations and visits	Archive records of donations and disposals, repairs, purchases and sales. All other records of visits, returned loans Current Year + 1	Donation Records, Collecting Policy, Records of Conservation Work, Purchase and sale of items Loans & returns, Visits, Letters of appreciation	Best Practice SMC Regulations and Guidelines Does not include Service Archives
1.19	The process of arranging Travel and Accommodation for work purposes	Current Year + 6	Booking Forms, Travel Warrant Receipts, Emailed receipts & booking details	Statutory - as per '8 - Finance'
1.20	The process of developing and managing Service Policies, Standard Operating Procedures (SOPs), Strategies, Plans and Best Practice	Archive all Procedures, Policy, Strategy and Best Practice All working papers Review Current Year + 1	Service Procedure Manual, Standing Orders, Policy Documents, Strategy Documents, Memos and Orders, Corporate Plan	Include all versions and superseded sections
1.21	The process of developing and managing internal Service Level Agreements (SLAs)	SLA until superseded + 1 year All other records Current Year + 1	Service Level Agreement Draft Agreements, Working Papers, Statistics, Performance Reviews	Best Practice
1.22	The process of preparing Business for Cross-Departmental and/or Divisional consideration and making the record of discussion, debate and resolutions	Current Year + 3	Minor meetings, correspondence	Best Practice
1.23	The process of preparing statistical information as per statutory or regulatory requirements Compiled data Working documents	Archive Current Year + 1	Crime Statistics * Current Performance Indicators	*May be contained in other documents (eg annual reports)
1.24	The process of preparing an Honours Submission	Current Year + 2	Honours Nomination Form Related documents	Best Practice

Administration - General				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.25	The process of organising staff and public Surveys	Final Report - Review Current Year + 6 Collated Data - Current Year + 1	Report, Statistical Data Completed Survey Forms	Best Practice
1.26	The management of enquiries, complaints and submissions that result in a significant change to Policy or Procedures	Archive	eg Chokkar Report Dunblane Enquiry	Best Practice Originating Force only
1.27	The process of conducting compliance audits Transaction validations Full audit paperwork Final audit report	2 years Current Year + 3 6 years	PNC audits, CHS audits, Internal audit reports, working papers	Internal audits of Service systems may be retained for a shorter period
1.28	HMIC Primary Inspection	Review at subsequent inspection + 5 years	Protocols, Support Evidence, Recommendations action plan, Minutes of meetings, Correspondence with HMIC	
1.29	HMIC Thematic Inspection	Review at closure of file + 5 years	Protocols with responses, Support Evidence, Correspondence with HMIC	
1.30	Internal Inspection & Audit, Continuous Improvement & Business Benefit activities, and Best Value Reviews	Review at closure of file + 5 years	Report, Questionnaires with data gathering, Supporting documentation, Progress reports, Minutes of meetings	Refer to Administration 1.27 for data protection audits
1.31	Suggestion scheme Idea submission and evaluation Procedures and administration	Scheme closure + 6 years Review Current Year + 3		If scheme does not involve monetary compensation, retention period may be shortened.

Administration - Correspondence				
Ref.	Function Description	Retention Action	Examples of Records	Notes
2.1	Abstract Requests	Current Year + 3		

Administration - Correspondence				
Ref.	Function Description	Retention Action	Examples of Records	Notes
2.2	Complaints (general)	Current Year + 3	Correspondence regarding Service policies, service delivery	Refer to Professional Standards for complaints against named officers
2.3	Correspondence Books (or electronic equivalent) including correspondence workflow audit trail	Current Year + 3	Correspondence Tracking Systems/ Books	Retention of workflows for specific functions should correspond with the related record (eg SARs)
2.4	Criminal Injuries Compensation	Current Year + 6		
2.5	Data Protection Subject Access Requests (SARs)	Current Year + 3		Unless SAR is part of invoice, then current Year + 6
2.6	Part V Disclosure Unit Enquiries	Current Year + 3		Refer to Public Protection 4.0 for PVG applications
2.7	Donations to Benevolent Funds from members of the public Letters of thanks Records of Donations	Current Year + 1 Current Year + 6	Letters of Thanks Donation letters Transfer of Money to Funds	
2.8	Freedom of Information (FOI) Requests The process of researching and replying to FOI Requests Statistical information on the number of requests received, compliance with timescales, exemptions used etc	Current Year + 3 Current Year + 10	Enquiries made possible by Fol (Scotland) Act	Best Practice National Archives guidance
2.9	General Enquiries (related to a specific incident). The process of dealing with victims and witnesses to crimes, complaints about incidents and problems, etc.	Refer to '7 - Crime'		
2.10	Invitations to officers and staff to functions, events, etc.	Destroy after end of administrative use		Best Practice
2.11	Police History and Genealogical Enquiries	Current Year + 1	History of the Service/ former Forces, Family History Research	FAQs should be considered for inclusion in publication scheme/Internet
2.12	Precognition Requests	Current Year + 1		
2.13	Process of handling calls to Service communication centres (<u>not</u> incident reporting) Telephone calls & text messages received from the public Record of action taken/ guidance provided Prepared answers to routine questions	Current Year + 6 Destroy when superseded	Customer relationship management databases, Recorded calls, Call handling guides	Calls transferred to internal numbers without further action do not have to be recorded. For incident logging, refer to Operations 1.5.

Administration - Hospitality				
Ref.	Function Description	Retention Action	Examples of Records	Notes

Administration - Hospitality				
Ref.	Function Description	Retention Action	Examples of Records	Notes
3.1	Catering Request Forms	Current Year + 1		Statutory - as per '8 - Finance'
3.2	Courtesy Meals Authorisation Forms	Current Year + 1		Statutory - as per '8 - Finance'
3.3	Register of Gifts	Archive		Best Practice
3.4	Room & Equipment Bookings	Current month only*		*If charged for service, retention must be current Year + 6

Administration - Information Technology				
Ref.	Function Description	Retention Action	Examples of Records	Notes
4.1	IT & Telecommunications Cabling Plans	Until superseded + 1 year		Business Use
4.2	Information Security accreditation document sets Generic Other	Current Year + 3 Until superseded		
4.3	Information Security technical documentation	Until superseded		
4.4	Results of IT scripts generated on behalf of the Service by SPSA	Delete on confirmation of readability by the Service	Spreadsheets etc containing data extracted from IT systems	

Administration - Legal Services				
Ref.	Function Description	Retention Action	Examples of Records	Notes
5.1	The process of administering Litigation Files	Review at closure + 10 years		

Administration - Other Bodies				
Ref.	Function Description	Retention Action	Examples of Records	Notes
6.1	ACPOS Records (Force copy)	Current Year + 3		ACPOS responsible for master records
6.2	JNCC/JSCC or equivalent staff consultative body Records	Current Year + 5	Minutes, papers	Best Practice

Administration - Police Surgeons				
Ref.	Function Description	Retention Action	Examples of Records	Notes

Administration - Police Surgeons				
Ref.	Function Description	Retention Action	Examples of Records	Notes
7.1	The process of arranging and managing Police Surgeons' recording of work, contracts and the payment of fees/ expenses <i>Arranging and Managing Police Surgeons Work</i> <i>Police Surgeons' Contracts</i> <i>Payment of Fees and Expenses</i>	Current Year + 1 Expiry + 6 Years Current Year + 6	Call out forms Fees & Expenses forms and invoices	Statutory - as per '8 - Finance'
7.2	The process of managing police casualty surgeons lists, including vetting, references, proof of qualifications and annual checking of professional indemnity certificates <i>Police Surgeons Lists</i> <i>Register of Surgeons</i> <i>All other records</i>	Until superseded + 1 Year Archive Service + 3 Years	Police Surgeons' Lists, References, Qualifications, Professional Indemnity	Best Practice Do not destroy records if there are outstanding complaints against a doctor

Administration - Publications				
Ref.	Function Description	Retention Action	Examples of Records	Notes
8.1	Development and publication of Service Annual Reports, Public Performance Reports or equivalent	Archive Annual Report All other records Current year + 1	Annual Report (or equivalent) Working Papers	Local Government etc. (Scotland) Act 1994 s.136
8.2	Development and publication of Service Publication Scheme under the FoI (Scotland) Act 2002	Archive Scheme All other records Current year + 1	Publication Scheme Working Papers	Freedom of Information (Scotland) Act 2002 s.23

Administration - Records Management				
Ref.	Function Description	Retention Action	Examples of Records	Notes
9.1	Archive Deposit Agreement	Archive		Best Practice in Management of Assets
9.2	Catalogue/Inventory of Records transferred to Archives	Archive		Best Practice in Management of Assets
9.3	File Plans, Indexes and Inventories	Destroy when all records referred to are destroyed		Can be useful for researching older records
9.4	Guidance Notes and Procedures	Review when superseded		Can be useful for researching older records
9.5	List of Records Destroyed	Archive	Disposal Certificates, Index/ Catalogue of records destroyed	FoI (Scot) Act 2002 s61 Records Management Code of Practice
9.6	Process of Developing and Maintaining the Record Retention Schedule	Archive	Retention Schedule, Review/ Appraisal Criteria & Guidelines	FoI (Scot) Act 2002 s61 Records Management Code of Practice

5. COMMUNITY SAFETY

Community Safety				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.1	The process of administering Architectural Liaison	Destroy at completion of build + 3 years (Unusual buildings may be retained and reviewed annually)	Plans, drawings, correspondence, guidance	Superseded documents, drafts and ephemera can be destroyed at any time prior to the retention date
1.2	The process of administering the Arrest Referral Scheme (referring individuals to social justice team for assistance)	Current Year + 3	Correspondence, Referrals	Retain statistics as archives
1.3	The process of administering Awards/ Thank you Letters/ nomination of members of public for awards	Award/ Refusal + 1 year	Correspondence, Nomination Forms	
1.4	The provision of strategic advice and guidance for CCTV Installations and use	Current Year + 3	Correspondence	
1.5	The process of administering Community Council liaison	Current Year + 1	Minutes, Agenda, Papers, Correspondence	
1.6	The process of administering Community Planning initiatives, developing and managing projects (part) funded from external sources working with partner organisations	Current Year + 5	Correspondence, Funding Applications, Working Papers, Project Planning	Refer also to project list
1.7	The process of developing and administering specific Community Safety Initiatives not otherwise included	Review Current Year + 3	Correspondence, Forward Planning	Archive strategic plans & top-level details of schemes. May be contained in business plans
1.8	The process of planning, implementing and managing awareness and education in Crime Prevention	Current Year + 3	Correspondence, Workplans	Archive strategic plans & top-level details of schemes. May be contained in business plans
1.9	The process of administering Diversity Issues , including the planning, implementation and management of race relations, asylum seeker liaison, LGBT monitoring and related issues	Review Current Year + 3	Correspondence, Workplans, Strategy Documents	Archive strategic plans & top-level details of schemes. May be contained in business plans
1.10	The process of planning, implementing and managing awareness and education on the subject of Drugs	Current Year + 3	Correspondence, Workplans, Publicity Material	Archive strategic plans & top-level details of schemes. May be contained in business plans
1.11	The process of administering liaison and contact with Local Authorities to ensure good communications, consistency and understanding	Current Year + 3	Correspondence	
1.12	The process of developing, managing and monitoring the Race Equality Scheme	Review Current Year + 5	Correspondence, Strategic Plans	Archive strategic plans & top-level details of schemes. May be contained in business plans
1.13	The process of receiving, collating and reporting on Incidents Motivated by Hate	Current Year + 6	Incident reports, Statistics	Archive statistics For hate <u>crimes</u> , refer to Crime section

Community Safety				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.14	<p>The process of planning and administering the Restorative Justice Programme, including the scheme facilitating meetings between victims and perpetrators of crime</p> <p>Restorative Justice Warnings Information held as an integral part of electronic crime recording system</p> <p>Warning letters (when the crime recording system does not record the text of the letter)</p>	<p>Current Year + 3</p> <p>Current Year + 2</p> <p>Current Year + 1</p>	<p>Correspondence Planning Documents</p> <p>Senior Officers' Warning Letters</p>	Archive statistics, strategic plans and top-level details of schemes. May be contained in business plans
1.15	The process of planning, implementing, recording and reporting on initiatives and projects run under the Safer Scotland banner, directed by ACPOS Central Planning team (formerly Spotlight)	Review Current year + 1	Correspondence, Workplans	Archive statistics, strategic plans and top-level details of schemes.
1.16	The process of collating and maintaining Statistics on domestic abuse, drugs deaths, non-offence referrals to Reporter, youth detention and related community safety functions	<p>Archive Statistics</p> <p>Destroy working papers after completion</p>	<p>Statistics</p> <p>Working Papers</p>	Often found in annual report
1.17	The process of recording Stop and Search instances	<p>Current year + 6</p> <p>Archive Statistics</p>	Incident Reports Statistics	Statistics may be found in annual report
1.18	Text and related material for the provision of regular talks and Lectures on community safety issues	When superseded	Presentations, Slides Lecture Notes	
1.19	The process of managing and monitoring Vulnerable Victims (ie those coming to police notice through domestic abuse, etc. allegations)	Last contact + 6 Years	Incident Reports Databases	
1.20	<p>The process of managing a Youth Advisory Scheme, managing contact cards detailing incidents and offences that may/ may not result in referral to the reporter:</p> <p>Personal Details</p> <p>Non-personal information</p>	<p>Destroy when youth attains age 16</p> <p>Maximum of 5 years thereafter</p>	Contact cards, Databases	For older youths under supervision orders - retain until the order runs out

6. CRIME AND PRODUCTIONS

Crime and Productions				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	<p>The process of Recording and Investigating the incidence of Crimes & Offences made known to the police</p> <p>Serious Crime Enquiry (unresolved)</p> <p>Serious Crime Enquiry (resolved)</p> <p>Standard Crime Enquiry (Both resolved & unresolved)</p>	<p>Retain until case is resolved</p> <p>From date made known to Police:</p> <p>- Current Year + 12 <i>(Case assessment may initiate further retention)</i> <i>(Where accused is detected more than 12 months after date made known, retention period to be calculated from date case is reported to Crown)</i></p> <p>- Current Year + 6 <i>(Case assessment may initiate further retention)</i></p>	<p>Arrest/ Detention Forms Casualty Surgeon Examination Report Crime Report Disclosure Schedules Financial Investigation/ disclosures Hate Crime Records Identity Parade Forms Interview Tapes/ DVDs Major Enquiry Forms Major Enquiry HOLMES tapes Notebooks Police and Civilian Statements Police Reports to Fiscal Policy Files Prisoner Processing Record Production Register Q & A Interviews Record of Statement Scenes of Crime Examination Solicitor Access Forms Surveillance Authorisations/ Logs Voluntary Attendance Forms Voluntary Statement by Accused Witness Protection Authorisations/ Files</p>	<p>Unless otherwise directed by Crown Office or Procurator Fiscal Service or subject to an order under the Criminal Procedure (Scotland) Act 1995 Section 194A in respect of the Scottish Criminal Cases Review Commission.</p> <p>In addition, where there is a requirement for a convicted person to register on the Sex Offenders Register, the registration does not take place until after the completion of a custodial sentence.</p> <p>Police forces and law enforcement agencies must ensure that where the custodial sentence exceeds the retention periods (6 & 12 years), appropriate records should be retained to facilitate risk assessments which require to be undertaken</p>
1.1	<p>The process of retaining productions relating to a Crime or Offence made known to the Police:</p> <p>Serious Crime Enquiry (unresolved)</p> <p>Serious Crime Enquiry (resolved) & Standard Crime Enquiry (resolved)</p> <p>Standard Crime Enquiry (unresolved)</p>	<p>Retain until case is resolved</p> <p>Dispose of at conclusion of criminal proceedings unless instructed otherwise by Court or Crown</p> <p>Current Year + 2 from date made known to Police <i>(or, in minor cases, 6 months)</i> <i>(Case assessment may initiate further retention)</i></p>	<p>Productions</p>	

6.1 RETENTION, REVIEW AND DISPOSAL OF CRIME RECORDS

6.1.1 Based on the definitions below, every case will fall into one of three general categories:

- **Serious unresolved cases** - retain until case is resolved
- **Serious resolved cases** - retain for current year + 12 years from the date made known to the police
- **Standard cases (resolved & unresolved)** - retain for current year + 6 years from the date made known to the police

(Where a case is resolved more than 12 months after the date made known to the police, substitute this date with the date on which the matter was reported to the relevant prosecuting authority)

6.1.2 Where appropriate however, as defined further in this document, a case may be subject to review based on certain criteria and retention may then be extended as appropriate.

6.1.3 Furthermore, where a case is the subject of a notified appeal, dispute, complaint or civil litigation or where notification to preserve records has been received from the Scottish Criminal Cases Review Commission (SCCRC), disposal must be suspended until the outcome is known.

6.1.4 Resolved cases include all detected cases and those where it has been established that no crime has taken place as well as, for example, those cases which either result in a not proven or not guilty verdict but where enquiries have been concluded to the satisfaction of the investigating Force.

6.1.5 Unresolved cases include all undetected cases as well as, for example, those where the case is detected but the offender has absconded or cannot yet be brought to justice. Additionally, homicide cases that result in a not guilty verdict or acquittal must be treated as 'unresolved' as a result of the [Double Jeopardy \(Scotland\) Act 2011](#).

6.2 SERIOUS CRIME ENQUIRIES

6.2.1 Investigations into any of the crimes listed below will be classed as '**Serious Crime Enquiries**'. **Unresolved cases** will be retained until the case is resolved and **resolved cases** are subject to a retention period of current plus 12 years.

Murder, Culpable Homicide (including statutory) & Drug Related Deaths

- Any contravention of Sections 1 or 3A of the Road Traffic Act 1988
- Any Drug Related Death as defined in the 1994 Scottish Office Ministerial Drugs Task Force Report

Serious & Series Sexual Offences

The following crimes and offences in all circumstances:

The Sexual Offences (Scotland) Act 2009:¹

- Section 1 (rape)
- Section 18 (rape of a young child)
- Section 19 (sexual assault on a young child by penetration)
- Section 20 (sexual assault on a young child)
- Section 21 (causing a young child to participate in a sexual activity)
- Section 22 (causing a young child to be present during a sexual activity)
- Section 23 (causing a young child to look at a sexual image)
- Section 24 (communicating indecently with a young child etc.)
- Section 25 (sexual exposure to a young child)
- Section 26 (voyeurism towards a young child)
- Section 28 (having intercourse with an older child) Section 29 (engaging in penetrative sexual activity with or towards an older child)
- Section 30 (engaging in sexual activity with or towards an older child)
- Section 31 (causing an older child to participate in a sexual activity)
- Section 32 (causing an older child to be present during a sexual activity)
- Section 33 (causing an older child to look at a sexual image)
- Section 34 (communicating indecently with an older child etc.)
- Section 35 (sexual exposure to an older child)
- Section 36 (voyeurism towards an older child)
- Section 42 (Sexual abuse of trust)
- Section 46 (Sexual abuse of trust of a mentally disordered person)

The Protection of Children and Prevention of Sexual Offences (Scotland) Act 2005

- Section 1 (meeting a child following certain preliminary contact)
- Section 9 (paying for sexual services of a child)
- Section 10 (Causing or inciting provision by child of sexual services or child pornography)
- Section 11 (Controlling a child providing sexual services or involved in pornography)
- Section 12 (Arranging or facilitating provision by child of sexual services or child pornography)

The Criminal Law (Consolidation) (Scotland) Act 1995:

- Section 8 (abduction of girl under 18 for the purposes of unlawful intercourse)
- Section 10 (person having parental responsibilities causing or encouraging sexual activity in relation to girl under 16)

The Mental Health (Scotland) Act 1984:

¹ The following crimes and offences abolished under the Sexual Offences (Scotland) Act 2009 are categorised as serious: rape at common law; clandestine injury to women; sodomy; indecent assault (when committed against a child); lewd, indecent or libidinous practice or behaviour (when committed against a child); Section 3 of the Sexual Offences (Amendment) Act 2000 (c.44) (abuse of position in trust) (where the offender was 20 or over); Section 311(1) (non-consensual acts) and Section 313(1) (persons providing care services: sexual offences) of the Mental Health (Care and Treatment) (Scotland) Act 2003.

- Section 106(1) (protection of mentally handicapped females)
- Section 107(1) (protection of patients)

The Civic Government (Scotland) Act 1982

- Section 52 (taking and distribution of indecent images of children)
- Section 52A (possession of indecent images of children)

The following crimes and offences when committed against a child:

The Sexual Offences (Scotland) Act 2009:

- Section 2 (sexual assault by penetration)
- Section 3 (sexual assault)
- Section 10 (administering a substance for sexual purposes)

The Criminal Law (Consolidation) (Scotland) Act 1995:

- Section 1 (incest) (excluding circumstances where all parties are children and willing participants)
- Section 2 (intercourse with a step child)

Abduction of a woman or girl with intent to rape
Assault with intent to rape or ravish.

Serious Violence

Any serious assault where:

- There is involvement of a firearm or imitation
- A victim suffers significant permanent impairment or disfigurement
- There has been endangerment to life

Abduction Involving Extortion

Including cases where the abduction is resolved prior to any demand being issued but evidence or intelligence exists to suggest the motive was extortion

Any Act of Terrorism

High Value Acquisitive Crime

This category includes:

- Robberies involving cash or property to the value of £50,000 or more
- Non-violent acquisitive crime and cases of seizure or restraints under the Proceeds of Crime Act 2002 involving cash or property to the value of £100,000 or more

This category does not normally include acquisitive crimes involving clandestine possession (eg Section 178 Road Traffic Act 1988)

Major Drug Trafficking

This category includes:

- Enquiries involving the importation or exportation of controlled drugs (including offences under Customs and Excise Management Act 1979)
- Any case of domestic (UK) drug trafficking involving a monetary street value of £100,000 or more

6.2.2 On conclusion of a case or at any point during the retention period however, the retention of a serious case record may be extended by a further six years followed by review, where the case meets any of the following criteria:

- Do the records contain information necessary for the prevention and detection of crime or apprehension and prosecution of offenders which is not otherwise available, eg on CHS or PNC
- Did the case involve a custodial sentence in excess of twelve years?
- Did the case involve as yet unidentified forensic evidence?

6.2.3 All cases where a decision has been made either to destroy the case records or extend the retention period, the decision-maker's details, the reason(s) for the decision and date of the decision must be recorded.

6.3 STANDARD CRIME ENQUIRIES

6.3.1 All other criminal investigations not listed above will be classed as '**Standard Crime Enquiries**' and are therefore subject to a retention period of current year plus 6 years.

6.3.2 On conclusion of the case, or at any point during this period however, a standard crime enquiry may be reclassified as serious, thereby extending the retention to current year plus 12 years, where the case meets any of the following criteria:

- Does other information/ intelligence exist which suggests that the crime may be part of a sequence of escalating violent and/ or sexual offending behaviour?
- Does the case record indicate that the accused is likely to pose a continuing risk to either children or vulnerable adults?
- Did the case involve a custodial sentence in excess of six years?
- Did the case involve as yet unidentified forensic evidence?
- Does the case involve ongoing operational issues?
- Does the case involve significant witness protection issues?
- Did the case involve serious damage (£100,000 or more) to property?

6.3.3 In all of the above cases, the decision-maker's details, the reason(s) for re-designation and date of the decision must be recorded.

6.4 RECORDS WITH HISTORICAL VALUE

6.4.1 Certain criminal investigations are of intrinsic historical interest to society, whether on a national or local scale. Once there are no longer operational policing reasons to retain investigative material, consideration may be given to retain these records as historical archives. Such further retention will however be the exception rather than the rule and the following aspects must be considered:

- Did the case have a significant impact on policing strategy?
- Did the case cause grave public concern or have a significant impact on the community/ society?
- Did the case involve substantial police resources?
- Did the case involve landmark developments in policing methods (eg new forensic techniques, case law)?
- Did the case attract or is it likely to attract significant media or external scrutiny?

6.5 RETENTION, REVIEW AND DISPOSAL OF PRODUCTIONS

6.5.1 Productions are items seized in the course of a criminal and/or deaths investigation into an incident which may give rise to criminal proceedings or a fatal accident inquiry, and which have evidential value in terms of the investigation and possible subsequent court proceedings.

6.5.2 The disposal of productions will be conducted as follows:

Unresolved Serious Case productions will be retained until the case is resolved. Notwithstanding this, where issues of health and safety, security or best value arise, permission should be sought from the Procurator Fiscal regarding earlier disposal. The same applies where the Senior Investigating Officer (SIO) determines that certain productions no longer require to be retained. In these cases, the decision-maker's details, the reason(s) for the decision and date of the decision must be recorded.

Unresolved Standard Case productions will be retained for current year + 2 years from the date made known to the police except where the case has been identified for exceptional retention during a review. In such circumstances, the productions will be retained in line with the case records

Unresolved Minor Case productions may be retained for a lesser period of 6 months from the date made known to the Police in the following circumstances:

- Cases where there are no injuries or minor injuries
- Cases where property damaged/ stolen is of low value
- Cases where there are no aggravations
- Cases where there is no available evidence/ intelligence to suggest that the crime is part of a sequence of offending behaviour

All Resolved Case productions, both Serious & Standard and death related productions, will be disposed of following notification from the Procurator Fiscal that criminal proceedings are concluded.

Retention of productions for longer periods can only be achieved through formal representation to or from the Procurator Fiscal and such retention will be reviewed annually unless the Procurator Fiscal has stipulated a longer retention period. In

such cases, the reason for further retention, together with details of the decision-maker and date of the decision should be recorded.

Deterioration of Productions - Productions should be stored in conditions which preserve their evidential value however, due to their very nature, some productions will deteriorate over time to the point where they have no evidential value - for example forensic evidence such as gel foot and fingerprint lifts and some DNA evidence. Any such productions may be destroyed. In such cases, the reason for the destruction, together with details of the decision-maker and date of the decision should be recorded.

Valuable/ Sentimental Items - None of the above prevents best practice of returning valuable or sentimental items to owners. If this course of action is taken the item may be photographed, replaced by a signed label, together with a supporting corroborative statement from the owner.

Notebooks/ Personal Digital Assistants (PDA) - Where a Police Notebook or equivalent PDA record has been lodged as a production it should be regarded as such until the conclusion of criminal proceedings at which time it will be retained in accordance with the general rules on notebook management.

Scottish Criminal Cases Review Commission (SCCRC) - Productions must not be destroyed in instances where notification to preserve them has been received from the SCCRC.

7. FINANCE

7.1 APPLICABLE LEGISLATION

- [Prescription and Limitation \(Scotland\) Act 1973](#)
- [Prescription and Limitation \(Scotland\) Act 1984](#)
- [Value Added Tax Act 1994](#) Sections 14, 15, 48, 49(2A), 69(2), 69A and Schedules 11(6) and 11(6A)
- [Finance Act 1985](#)
- [Finance Act 2012](#) Section 60(6)
- [Companies Act 1985](#)
- [Companies Act 2006](#) Sections 248(2), 355, 358, 386, 387, 388, 389, 911(3), 926(3), 1083 and 1090(3)
- [Taxes Management Act 1970](#) Section 12B and schedule 1A(2A)

7.2 NOTE

Unless otherwise stated, 'current year' for finance records shall be taken to mean the 'current financial year'

Finance				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	Process of administering accountancy and financial records for the Service and it's predecessor Forces, including:			
	<i>Abstract of Accounts</i>	Offer to Archives	Signed copies	
	<i>Financial Ledger</i>			
	<i>Abstract Working Papers</i>	Current Year + 6		
	<i>Budgetary Control Records</i>			
	<i>Costing Records</i>			
	<i>Grant Claim Records (Non-EC)</i>			
	<i>Journals</i>			
	<i>VAT Claims & Records</i>			
	<i>Voluntary Fund Accounts</i>			
	<i>Virement Requests</i>			
	<i>Projects funded through a European Programme</i>	7 Yrs after closure of Programme	Devolved Budgets	
	<i>Leasing Records</i>	Termination + 2 Yrs	Application forms, finance records & cash receipts	
	<i>Budget Working Papers</i>	Current Year + 3		

Finance				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.1	Process of administering cash and bank records for the Service and it's predecessor Forces, including:		Contingent Accounts, Weekly Monies	
	<i>Main Cash Book</i>	Archive		
	<i>Cancelled Cheques</i>	Current Year + 6		
	<i>Cheque Lists (creditors/payroll)</i>			
	<i>Loan Records and Correspondence</i>			
	<i>Returned Cheque Records</i>			
	<i>Cashflow Report</i>	Current Year + 1		
	<i>Bank Pass Books</i>	Current Year + 6		
	<i>Bank Paying-in Counterfoils</i>			
	<i>Banking Returns</i>			
	<i>Bank Reconciliation</i>			
	<i>Bank Statements</i>			
	<i>Cash Received Sheets</i>			
	<i>Cheque Books & Counterfoils</i>			
	<i>Cheque Payment Sheets</i>			
	<i>Cheques/Remittance Advice</i>			
	<i>Financial Request Forms</i>			
	<i>GIRO Statements of Accounts</i>			
	<i>Imprest Statements</i>			
	<i>Independent Fund Records</i>			
	<i>Payment Requisitions</i>			
	<i>Petty Cash Records & Claims</i>			

Finance				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.2	<p>Process of administering Contractual Arrangements entered into by the Service and it's predecessor Forces, including:</p> <p><i>Final Accounts of Contracts</i> <i>Major Agreements of Significance</i></p> <p><i>Contracts with Agents/ Contracts with Customers/ Contracts with Suppliers</i> <i>Indemnities & Guarantees</i> <i>Licensing Agreements</i> <i>Rental & Hire Purchase Agreements</i> <i>Other Contracts & Agreements</i></p> <p><i>Construction Industry Scheme Records</i> <i>Royalty Payments</i> <i>Successful Tenders</i> <i>Unsuccessful Tenders</i></p>	<p>Archive</p> <p>Expiry + 6 Yrs</p> <p>Current Year + 6 Termination + 3 Yrs 3 Yrs after Final Payment 3 Yrs</p>	<p>Construction Contracts Vehicle Fleet Acquisitions IT Provision</p>	
1.3	<p>Process of administering records relating to Creditors of the Service and it's predecessor Forces, including:</p> <p><i>Creditors Invoices - Capital Items</i></p> <p><i>Bank Statements</i> <i>Creditors Feeder BACS</i> <i>Creditors Feeder Cheque</i> <i>Creditor Invoices - Revenue Items</i> <i>Periodic Payment Records</i> <i>Reconciliations</i> <i>Replacement Cheque Lists</i></p> <p><i>Cheque Payment Listings</i> <i>Excess Payments Report</i></p> <p><i>Control Sheets & Reports</i> <i>Feeder Controls</i></p>	<p>10 Yrs Current Year + 6</p> <p>Current Year + 3</p> <p>Current Year + 1</p>		<p>It may not always be possible to distinguish between Capital/ Revenue Invoices</p>
1.4	<p>Process of administering records relating to Donations/ Grants and Subscriptions for the Service and it's predecessor Forces, including:</p> <p><i>Grant Application Form & Related Correspondence/ Subscription Records</i></p>	<p>Current Year + 6</p>	<p>CCTV System Grant</p>	

Finance				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.5	Process of administering records relating to Income received by the Service and it's predecessor Forces, including: <i>Cash Count Forms/Income</i> <i>Income Returns</i> <i>Receipt Books</i> <i>Receipts for Cash</i> <i>Record of Receipt Books Issued</i> <i>Catering Records</i> <i>Till Rolls</i> <i>Income related Correspondence</i> <i>Postal Remittance Register</i> <i>Credit Card Transaction Slips (income related)</i>	Current Year + 6 Current Year + 6 Current Year + 2 Current Year + 1	Policing Major Sporting Events Provision of Mutual Aid Internal Catering Provision	
1.6	Process of administering Insurance related records involving the Service and it's predecessor Forces, including: <i>Expired Insurance Contracts</i> <i>Insurance Policy Documentation</i> <i>Insurance Register</i> <i>Insurance Schedules</i> <i>Insurance Claims</i>	Permanent 10 years Current Year + 6	Public Liability Insurance Employers Liability Insurance Property Claims Vehicle Claims	
1.7	Process of administering Inventories of equipment held by the Service and it's predecessor Forces	Current Year + 6	Station Inventories Asset Registers	
1.8	Process of administering records relating to Investments held by the Service and it's predecessor Forces, including: <i>Contract Notes for Purchases & Sales</i> <i>Investment Policies</i> <i>Investment Records</i> <i>Register of Certificates</i> <i>Tax Claims</i>	Current Year + 6		
1.9	Process of administering records relating to Loans involving the Service and it's predecessor Forces, including: <i>Debtors Accounts Control Report</i> <i>Debtors Ledger, Invoices & Supporting Documentation</i>	Current Year + 6		

Finance				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.10	<p>Process of administering records relating to Pensions for Police & Support Staff, including:</p> <p><i>Actuarial Valuation Records</i> <i>Trust Deeds and Rules</i> <i>Contribution Records</i> <i>Fund Annual Accounts</i> <i>Pension Investment Records</i> <i>Trustees Minute Book</i></p> <p><i>Pension Scheme Investment Policies</i> <i>Records of Ex-Pensioners</i></p> <p><i>Certificate of Existence & Continued Entitlement</i> <i>Changes of Payment</i></p>	<p>Archive</p> <p>6 Years after Cessation of Benefit</p> <p>Current Year + 6</p>		
1.11	<p>Process of administering records relating to Property held by the Service, including:</p> <p><i>Property Leases, Land Searches</i></p>	Refer to '20 - Property'		
1.12	<p>Process of administering Salaries and Wages paid to employees of the Service and it's predecessor Forces, including:</p> <p><i>Annual Return of Superannuation Contributions</i> <i>Monthly Return of Superannuation Contributions</i> <i>Reconciliation of Superannuation Contributions</i></p> <p><i>BACS Listings/ BACS Amendments & Output</i></p> <p><i>Clock Cards</i></p> <p><i>Inland Revenue & Contributions Agency documents</i> <i>Expenses Claims/ Overtime Claims</i> <i>New Start/Termination/Transfer Forms</i> <i>Payroll Adjustment Documentation/ Payroll Reconciliations</i> <i>Sick Pay Records/Data Timesheets</i> <i>Voluntary Deductions</i></p> <p><i>Medical Certificates</i></p>	<p>Archive</p> <p>10 Years</p> <p>3 Years</p> <p>2 Years</p> <p>Current Year + 6</p> <p>Current Year + 3</p>	Computerised Resource Management Systems	Taxes Management Act 1970 s12B, schedule 1A(2A)

Finance				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.13	Process of administering records relating to Stocks and Stores held by the Service and it's predecessor Forces, including: <i>Delivery Notes</i> <i>Goods Inward & Outwards Record Books/ Goods Received Sheet</i> <i>Purchase Order Copies</i> <i>Stock Adjustment Sheets/ Stock Inventories & Stock sheets</i> <i>Stores Requisitions/ Stores Transfer & Sales</i> <i>Bin Cards</i>	Current Year + 6 3 Years	Stationery, Uniform Clothing, Fuel Stock Control Systems	
1.14	Process of administering records relating to accounts of Commercial Suppliers to the Service and it's predecessor Forces, including: <i>Capital Invoices</i> <i>Revenue Invoices</i> <i>Revenue Expenditure - Unsuccessful Quotations</i> <i>Capital Purchase Orders/ Revenue Purchase Orders</i> <i>Purchase Requisitions</i> <i>Revenue Expenditure - Successful Quotations</i>	10 Years Current Year + 6 Current Year + 1 Current Year + 3		It may not always be possible to distinguish between Capital/ Revenue Invoices

8. FIREARMS

8.1 APPLICABLE LEGISLATION

- [Firearms Act 1968](#) Sections 28A, 32A(7), 33(5) and 40(3A)
- [Firearms Act 1982](#)
- [Firearms \(Amendment\) Act 1988](#) Section 40(3A) and Schedule 1(5)
- [Firearms \(Amendment\) Act 1994](#)
- [Firearms \(Amendment\) Act 1997](#) Section 28A(1) and 39(2)
- [Firearms \(Amendment\) \(No 2\) Act 1997](#)
- [Firearms Rules 1998/ 1941](#)
- [Control of Explosives Regulations 1991/ 1531](#) Regulations 5(3), 12, 19 and Schedule 3

Firearms				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	<p>The process of administering records relating to Current Certificates in respect of firearm and shot gun licensing:</p> <p><i>Initial Application Form & Enquiry Papers</i></p> <p><i>Firearm Certificate Renewal Application</i></p> <p><i>Shot gun Certificate Renewal Application</i></p> <p><i>Transfer of firearm/shotgun notification</i></p> <p><i>Address Change Notification</i></p> <p><i>Information Memoranda</i></p> <p><i>Warning Letter to Holder & Related Memoranda</i></p> <p><i>Firearm Variation Applications</i></p> <p><i>Transfer of firearms to Northern Ireland</i></p> <p><i>Change of Name Notification</i></p>	<p>Life of File</p> <p>Current & Penultimate Applications</p> <p>Current Application</p> <p>Completion of Next Renewal</p> <p>Completion of Next Renewal</p> <p>Completion of Next Renewal</p> <p>Review Current Year + 15</p> <p>Retain with current & penultimate renewal firearm applications</p> <p>Current Year + 1</p> <p>Life of File</p>	<p>Initial Application Form, Enquiry Papers</p> <p>Application Forms, Enquiry Papers</p> <p>Application Forms, Enquiry Papers</p> <p>Notifications of Transfer, Enquiry Papers</p> <p>Notifications of Change, Enquiry Papers</p> <p>Internal Reports, Correspondence</p> <p>Internal Reports, Correspondence</p> <p>Variation Application Forms, Enquiry Papers</p> <p>Application Form, Enquiry Papers</p> <p>Notifications of Change, Enquiry Papers</p>	<p>File life will depend on termination criteria</p> <p>All transactions must be accounted for</p> <p>Nature of information may extend retention</p>
1.1	The process of administering records relating to Cancelled Certificates for firearm and shot gun certificates	Current Year + 1	Cancellation Documentation, Internal Reports, Correspondence, File Content	
1.2	The process of administering records relating to the Revocation of firearm and shot gun certificates	Revocation + 20 Yrs Thereafter Review every 5 Yrs	Internal Reports, Correspondence, Application Forms, File Content	

Firearms				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.3	The process of administering records relating to the Refusal to Grant a firearm or shot gun certificate	Refusal + 20 Yrs Thereafter Review every 5 Yrs	Application Forms, Internal Reports, Correspondence, File Content	
1.4	The process of administering records relating to the Voluntary Surrender of a firearm or shot gun certificate	Surrender + 20 Yrs Thereafter Review every 5 Yrs	Application Forms, Internal Reports, Correspondence, File Content	
1.5	The process of administering records relating to the Voluntary Withdrawal of firearm and shot gun applications: <i>Withdrawn during enquiry for genuine reasons</i> <i>Withdrawn during enquiry prior to recommendation of refusal</i>	Current Year + 1 Withdrawal + 20 Yrs, thereafter review every 5 Yrs	Application Forms Enquiry Reports	
1.6	The process of administering Temporary Permits (Section 7)	Current Year + 1	Correspondence & Enquiry Papers relating to Application	
1.7	The process of administering records relating to the Disposal of Firearms and Shotguns	Current Year + 10	Firearms surrendered eg Amnesty Initiative	
1.8	The process of administering records relating to transactions in firearms conducted by Firearms Dealers : <i>Initial Application Form & Enquiry Papers</i> <i>Firearms Dealer Renewal Application</i> <i>Firearms Dealer Routine Inspection Records</i> <i>Cancelled Firearms Dealers Records</i> <i>Record of Sales/Transactions of Firearms/Shot guns on removal of dealer from the Register</i> <i>Removal of dealer from Police Register</i> <i>Additional Place of Business</i> <i>Game Fair Authorisations and Temporary Dealerships</i>	Life of File Current Application Completion of next renewal Current Year + 5 Current Year + 5 Removal + 20 Yrs, Thereafter review every 5 Yrs. Life of File Current Year + 1	Application Forms, Enquiry Papers, Correspondence, File Content Record of Sales and Transactions Registers. Application Correspondence Enquiry Papers	Nature of information may extend retention
1.9	The process of administering records relating to the issue of: <i>European Firearms Passes</i> <i>Article 7 Authorisations</i>	Life of the Pass Life of the Authorisation	Current Pass only Current Authorisation only	

Firearms				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.10	<p>The process of administering records relating to Approved Rifle & Muzzle Loading Target Shooting Clubs</p> <p><i>ARMLTS Club Initial Applications & Enquiry Papers</i></p> <p><i>ARMLTS Club Renewal Applications</i></p> <p><i>ARMLTS Range safety certificate</i></p> <p><i>ARMLTS Scottish Ministers' approval</i></p> <p><i>ARMLTS Variations to Club Firearm Certificate</i></p> <p><i>ARMLTS notification of change of Certificate Holder:</i></p>	<p>Life of File</p> <p>Current & Penultimate Applications</p> <p>Life of File</p> <p>Current approval only</p> <p>Retain with current & penultimate renewal applications</p>	<p>Application Forms</p> <p>Internal Reports</p> <p>Correspondence</p> <p>File Content</p> <p>Variation Application Forms</p> <p>Enquiry Report</p>	
1.11	<p>The process of administering records relating to British Visitor Permits for Firearms & Shotguns:</p>	<p>Current Year + 1</p>	<p>Application Forms, Internal Reports, Correspondence, File Content</p>	
1.12	<p>The process of administering records relating to Explosive Premises</p> <p><i>Explosive Premises Initial Application Form</i></p> <p><i>Explosive Premises Renewal Application</i></p> <p><i>Explosive Premises Routine Inspection Record</i></p> <p><i>Cancelled Explosive Premises Records</i></p> <p><i>Acquire Only Explosives Certificates</i></p> <p><i>Acquire & Keep Explosives Certificates (Private Use)</i></p>	<p>Life of File</p> <p>Current Application</p> <p>Until Next Renewal</p> <p>Current Year + 3</p> <p>Current and penultimate application</p>	<p>Application Forms, Internal Reports, Correspondence</p> <p>Inspection Records, File Content</p> <p>Application Forms, Enquiry Papers</p>	

9. FLEET

Fleet				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.1	Process of administering the purchase, maintenance and service history of Police Vehicles V5 forms (record of sale of the vehicle)	Disposal of Vehicle + 6 years Disposal of Vehicle + 3 years	Maintenance records, Service history, Handover form, MOT	
1.2	Vehicle logs	Disposal of Vehicle + 1 year	HORT4 books, Vehicle journey records	Road Traffic Act 1988 s.172
1.3	Process of administering Fuel cards Fuel Transaction Receipts Detailed Transaction Sheet	Current month + 3 months Current Year + 2	Fuel transaction receipts Fuel transaction disks Detailed transaction sheet	Detailed transaction sheet is not the financial record which will be held by Finance (retained for CY + 6)
1.4	Process of administering Vehicle Hires Booking, receipt & return of hired vehicle (TranMan system) Booking request and return of vehicle forms	Current Year + 6 Current Year + 3		
1.5	Fleet statistics	Current Year + 6	Annual mileage, Fleet size, Accidents	
1.6	Records related to accident damage and repairs to non-fleet vehicles	Current Year + 6	TranMan system	

10. HEALTH & SAFETY

10.1 APPLICABLE LEGISLATION

- [Health & Safety at Work etc Act 1974 Section 2\(3\)](#)
- [Management of Health & Safety at Work Regulations 1999/ 3242 Regulations 3 and 5](#)
- [Social Security \(Claims & Payments\) Regulations 1979/ 628 Regulations 24 and 25](#)
- [Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995/ 3163 Regulation 7](#)
- [Control of Asbestos Regulations 2012/ 632 Regulations 6, 13, 19, 22 and 33](#)
- [Control of Lead at Work Regulations 2002/ 2676 Regulations 8\(4\), 9\(4\) and 10\(5\)](#)
- [Control of Substances Hazardous to Health Regulations 2002/ 2677 Regulations 6, 9 \(4\), 10 \(5\), 11\(2\) and Schedule 3 Regulation 4\(3\)](#)
- [Ionising Radiations Regulations 1999/ 3232 Regulations 10\(2\), 18\(5\), 24\(3\) and 39\(7\)](#)
- [Work in Compressed Air Regulations 1996/ 1656 Regulations 10\(3\), 11\(4\) 11\(5\) and 11\(8\)](#)
- [Special Waste Regulations 1996/ 972 Regulations 15\(4\), 15\(5\), 15\(7\) and 15A\(3\)](#)
- [Environmental Protection \(Duty of Care\) Regulations 1991/ 2839 Regulation 3](#)
- [Provision & Use of Work Equipment Regulations 1998/ 2306 Regulation 35\(1\)](#)
- [Fire Precautions Act 1971](#) as amended by [Fire Precautions \(Workplace\)\(Amendment\) Regulations 1999](#)
- [Construction \(Design and Management\) Regulations 1994](#)
- [Lifting Operations and Lifting Equipment Regulations 1998/ 2307 Regulation 11\(2\)](#)
- [Noise at Work Regulations 2005/ 1643 Regulations 5, 9, 10 and 11](#)
- [Health & Safety \(Display Screen Equipment\) Regulations 1992/ 2792 Regulations 2 and 5](#)

Health & Safety				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	Policy statement of the Service and it's predecessor Forces relating to Health and Safety at Work	Permanent	Policy Statement	Health & Safety at Work, etc Act 1974 s2(3)
1.1	Records relating to the management of Health and Safety at Work : <i>Inspection Reports</i> <i>Generic Risk Assessments</i>	6 Yrs after Issue Current year + 10	H&S Inspection Reports, Manual Handling Risk Ass. Operational Risk Ass.	Management of Health & Safety at Work Regs 1999/ 3242 regs 3 & 5

Health & Safety				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.2	Records relating to Accidents, Injuries, Diseases and Dangerous Occurrences at work: <i>Accident Book</i> <i>Accidents & Dangerous Occurrences</i> <i>Diseases</i>	Last Entry + 5 Yrs Current Year + 5 Current Year + 5	Accident Book Report Form F2508 Report Form F2508A	Social Security (Claims & Payments) Regs 1979/ 628 regs 24 & 25 Reporting of Injuries, Diseases & Dangerous Occurrences Regs 1995/ 3163 reg 7
1.3	Records relating to employees exposed to asbestos at work under Control of Asbestos at Work Regulations 1987: <i>Health surveillance of employees exposed to asbestos</i> <i>Asbestos Inspections</i> <i>Asbestos Registers</i> <i>Asbestos Incidents</i>	Current Year + 40	Health Surveillance Records, Inspection Reports, Registers, Reports, Correspondence	Control of Asbestos Regulations 2012/ 632 regs 6, 13, 19, 22, 33
1.4	Records relating to employees exposed to Lead at work under Control of Lead at Work Regulations 1980: <i>Maintenance, examination & test of control measures - Reg 8(4)</i> <i>Monitoring exposure - Reg 9(4)</i> <i>Health surveillance of employees exposed to lead - Reg 10(5)</i>	Current Year + 5 Current Year + 5 Current Year + 40	Maintenance records Air Monitoring/ Health Surveillance Records	Control of Lead at Work Regs 2002/ 2677 regs 6, 7(10), 9(4), 10(5), 11(2). Schedule 3 reg 4(3), Schedule 9
1.5	Records relating to employees exposed to Hazardous Substances under COSHH Regulations 2002: <i>Assessment of risk to health - Reg 6</i> <i>Group 3 & 4 biological agents - Reg 7(10) Schedule 3 Regulation 4(3)</i> <i>Special provision re biological agents - Schedule 9</i> <i>Maintenance, examination & test of control measures - Reg 9(4)</i> <i>Monitoring general exposure at workplace - Reg 10(5)</i> <i>Monitoring personal exposure at workplace - Reg 10(5)</i> <i>Health surveillance of employees exposed to hazardous substance - Reg 11(2)</i>	Current Year + 5 Last Entry + 40 Yrs Last Exposure + 40 Yrs Current Year + 5 Current Year + 5 Current Year + 40 Last Entry + 40 Yrs	COSHH Assessment List of Relevant employees List of Relevant Employees Health Surveillance reports	Control of Substances Hazardous to Health Regs, 2002/ 2677 regs 6, 7(10), 9 (4), 10(5), 11(2), Schedule 3 reg 4(3) and Schedule 9
1.6	Records relating to the protection of employees and others from radiation in the workplace: <i>Health surveillance of workers exposed to radiation - Reg 24(3)</i> <i>Examining of respiratory protective equipment - Reg 10(2)</i> <i>Monitoring equipment carried by outside workers</i>	Current Year + 50 Current Year + 2 5 Years after last use	Health Surveillance reports Equip Examination Records Radiation Passbooks	Ionising Radiations Regs 1999/ 3232 regs 10(2), 18(5), 24(3) and 39(7)
1.7	Records relating to the protection of employees working in conditions involving Compressed Air : <i>Health surveillance of workers exposed to compressed air - Reg 10(3)</i> <i>Monitoring exposure at workplace - Reg 11(4)</i>	Last entry + 40 Yrs Last entry + 40 Yrs	Health Surveillance records Exposure Records	Work in Compressed Air Regs 1996/ 1656 regs 10(3), 11(4), 11(5) and 11(8)

Health & Safety				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.8	Records relating to the transportation of Hazardous Waste <i>Movement of special waste</i>	3 Years	Consignment Notes	Special Waste Regs 1996/ 972 regs 15(4), 15(5), 15(7) and 15A(3)
1.9	Records relating to the transfer of Controlled Waste	Current Year + 2	Consignment Notes	Environmental Protection (Duty of Care) Regs 1991/ 2839 reg 3
1.10	Records relating to the use of Work Equipment in terms of the Provision & Use of Work Regulations 1998 : <i>Maintenance of equipment</i> <i>Thorough Inspection Reports</i> <i>Incidents arising</i>	Last entry + 10 Yrs Last entry + 10 Yrs Last action + 5 Yrs or Claim settlement + 6 Yrs	Maintenance Logs, Test Certificates Inspection Reports Incident Reports	Provision & Use of Work Equipment Regs 1998/ 2306 reg 35(1) Lifting Operations and Lifting Equipment Regs 1998/ 2307 reg 11(2)
1.11	Records relating to precautionary measures taken in respect of Fire <i>Fire Certificates</i> <i>Fire Precautions & Services</i>	Expiry + 12 Yrs or until superseded Issue + 10 Yrs	Fire Certificates Fire Risk Assessments	Fire (Scotland) Act 2005 ss. 42(2) and 42(3)
1.12	Records relating to the design and management aspects of Construction Work : <i>Maintenance Logs</i> <i>Incident Reports</i> <i>Maintenance Schedules</i> <i>Health & Safety Files & Plans</i>	Final Entry + 6 Yrs or Claim settlement + 6 Yrs 10 Yrs after superseded Life of Property	Maintenance Logs Incident Reports Maintenance Schedules Health & Safety Files/Plans	Construction (Design & Management) Regulations 2007/ 370
1.13	Records relating to the monitoring of noise in the workplace in terms of the Noise at Work Regulations 1989: <i>Noise Assessments - Reg 5</i> <i>Noise Assessment Reviews - Reg 5</i> <i>Hearing Tests - Reg 9</i> <i>Exemption Certificates - Reg 11</i>	Until Superseded Until Superseded Current Year + 3 Current Year + 3	Audiometric Test Records Hearing Test Results	Noise at Work Regs 2005/ 1643 regs 5, 9, 10 and 11
1.14	Records relating to the monitoring of Display Screens and related workstations in the workplace: <i>Eyesight Tests - Reg 5 -</i> <i>Workstation Assessments - Reg 2</i>	Current Year + 3 Current Year + 3	Eyesight Test Results Workstation Assessments	Health & Safety (Display Screen Equipment) Regs 1992/ 2792 regs 2 and 5

11. INTELLIGENCE

- 11.1 In the prevention and detection of crime, law enforcement agencies have a duty to seek out, record and disseminate intelligence material relating to offenders and those suspected of criminal activity. Although the Data Protection Act 1998 affords law enforcement agencies a degree of latitude with regard to openness in this pursuit, there remains an underlying need to have a legitimate basis for processing data and observe the data protection principles, particularly those regarding data quality and security in the handling of intelligence material.

- 11.2 While the requirement for information from intelligence sources to be subject to evaluation of reliability and worth prior to being recorded on an intelligence system is acknowledged, it is equally crucial that such material is retained only for so long as it remains relevant. The undue guarding of historical and extraneous information not only undermines data protection principles, but also diminishes the capability for officers to reflect on accurate and compelling intelligence.
- 11.3 Definitive procedures with regard to the retention and weeding of intelligence material are clearly established within the associated Manual of Standards, Code of Practice and the Data Protection Act 1998. Accordingly, the retention and weeding of intelligence material controlled by SID will be conducted in accordance with these provisions.
- 11.4 The Data Protection Act 1998 requires that personal data should not be kept longer than is necessary for the purpose for which it was acquired. Accordingly, SID intelligence material will be subject to regular review and weeding as per the SID Rules, Conventions and Data Standards document. Intelligence material that is no longer of intelligence value should, except where paragraph 1.18 of that document applies, be destroyed.
- 11.5 Where it is believed that intelligence material, notwithstanding the requirement of paragraph 1.52 of the document, be retained on the grounds of Significant Public Interest*, the material; may be retained subject to:
- A record being made of the reason for the retention;
 - Regular review of its continuing retention; and
 - The imposition of additional safeguards concerning access.
- 11.6 A Significant Public Interest includes the maintenance of the security and integrity of law enforcement agencies or other public authorities.
- 11.7 While neither legislation nor any supporting Code of Practice / Manual of Standards is proscriptive in the timescales for the retention, review and weeding of intelligence material, it is clearly a requirement that such activities take place.
- 11.8 It will be the responsibility for LIO's to apply and justify the appropriate timescales for the review, weeding and continued retention of intelligence material. While it may be appropriate to apply a generic interpretation of standards and requirements in most cases, LIO's must always consider such actions on a case by case basis, particularly in regard to that intelligence which is significant in nature or which relates to core Nominals.
- 11.9 Where longer periods of review and weeding are selected, officers will be required to justify their actions in this regard.

- 11.10 Although a default weeding period of 12 months will apply in all cases, LIO's are required to select an appropriate weeding date based on the aforementioned principles. It would be reasonable to assume that the selected weeding date would range from 1 year up to 10 years, dependent on legislative requirements such as Part V of the Police Act 1997, or the nature, evaluation, validity and threat posed by the intelligence itself.
- 11.11 The following matrix should be used as a principal reference point when considering and determining the review and weeding periods for any intelligence material held within SID:

Intelligence				
Ref.	Function Description	Retention Action	Examples of Records	Notes

Intelligence				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	<p>Intelligence Recording</p> <p>Legislation including the Data Protection Act 1998 and ECHR will require SID intelligence material to be reviewed regularly, on a case by case basis, and weeded when appropriate.</p> <p>The retention actions are also dependent upon the nature of the intelligence held. (See notes).</p>	<p>10 Years</p> <p>5 Years</p> <p>3 Years</p> <p>1 Year</p>	<p>Scottish Intelligence Database</p> <p>5x5x5 System</p>	<p>Where existing intelligence indicates that a person is a 'core nominal' ie, he/she is a leading member of an organised crime group or, as an individual, exercises control and direction over others involved in serious or organised crime; or</p> <p>Where, under the 5x5x5 system, intelligence assessed and graded as A1 to A4 or B1 to B4 indicates that the person has committed a sexual offence against a child or vulnerable person.</p> <p>Where intelligence indicates that the individual(s) is involved in serious crime, ie, a crime for which a person who has attained the age of 21 years could, on conviction, be expected to be imprisoned for a term of 3 years or more or, a crime for which a person who is a juvenile or is under 21 years of age could, on conviction, be expected to be detained in a young offenders institution for a term of 3 years or more; or</p> <p>Where intelligence assessed and graded as C1 to C3 and E1 to E3 indicates that the person has committed a sexual offence against a child or vulnerable person.</p> <p>Where intelligence indicates that a person is involved in crime for which the punishment is imprisonment.</p> <p>Where intelligence indicates that a person is involved in any form of criminality, which includes serious road traffic offences other than those for which the punishment is imprisonment.</p>
1.1	RIPA, RIPSA & Part III Police Act	6 years	Applications, Authorisations, Reviews, Renewals	All examples relate to Directed and Intrusive Surveillance and Part III of Police Act.
1.2	RIPA, RIPSA covering Covert Human Intelligence Sources (CHIS)	Review after 3 years	Applications, Authorisations, Reviews, Renewals	RIPA legislation states records should be kept for 3 years. Before being destroyed the permission of the Authorising Officer or similar rank is required.
1.3	E-Briefing Records	Live system 7 days Archive 90 days	Daily officer briefings including officer safety information, current missing persons, individuals subject to warrants etc	This does not include information on officer tasking, general actions, or NIM Products - covered in Intelligence 1.4

Intelligence				
Ref.	Function Description	Retention Action	Examples of Records	Notes

Intelligence				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.4	NIM Products Strategic Assessments (including minutes of meetings where these detail the decision making and risk assessment processes) Tactical Assessments (including minutes of meetings where these detail the decision making and risk assessment processes) Exceptional assessments (eg T in the Park, G8 etc) Large scale assessments Routine assessments Control Strategy Problem Profiles/ Target Profiles Minutes of Meetings (not included under Strategic or Tactical Assessments above)	Review Current Year + 10 Offer to Archives Review Current Year + 5 Review Current Year + 2 Review Current Year + 10 Review Current Year + 2 Current Year + 2		
1.5	ANPR Records	Live System - 90 days Archive System - date read + 2 years		

Special Branch				
Ref.	Function Description	Retention Action	Examples of Records	Notes
2.1	Nominal files and associated intelligence reports	First review after 1 year, subsequent reviews at least every 5 years		
2.2	Policies and procedures	Review when superseded		
2.3	Aliens registration cards	Closure + 5 years		

12. LICENSING

12.1 APPLICABLE LEGISLATION

- [Licensing \(Scotland\) Act 2005](#) Sections 20, 20(4), 22 and 77
- [Civic Government \(Scotland\) Act 1982 Schedule 1](#) Section 8
- [Gambling Act 2005](#) Section 22 and Schedule 14 Section 13
- Gaming Act 2005
- [Lotteries & Amusements Act 1976](#)
- [Gaming \(Bingo\) Act 1985](#)
- [Pedlars Act 1871](#) Sections 5(5), 5(6), 8 and 9
- [Misuse of Drugs Act 1971](#) Section 10

12.2 NOTE

Only relevant Information from CHS, PNC, Command & Control or Crime systems should be retained along with the application/report for the same period.

Licensing				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	The process of administering records in respect of Liquor Licensing:		Enquiry Papers, Internal Reports, Databases & Correspondence relating to Licensees and Licensed Premises, eg:	
	<i>Personal Licences</i>	Until either completion of next renewal (10 years) or current year + 1 after expiry		
	<i>Premises Licences</i>	Until superseded or 1 year after closure of premises (where a premises license has been forwarded by local board)	Public Houses Hotels Restricted Hotels Entertainment Refreshment Restaurant Off Sales Seamen's Canteens Registered Clubs	
	<i>Operating Plans/ Layout Plans</i>	Until superseded or 1 year after closure of premises		
	<i>Premises Licence Applications</i>	Retain until licence and accompanying operating plan/ layout plan, as granted, is received (only where the department receives the premises license)		Licensing (Scotland) Act 2005 ss. 20, 20(4), 22 and 77
	<i>Premises Licence Interview/ Report Form</i>	Until superseded or 1 year after transfer/ expiry except where comment/ representation made in which case retain for current year + 6 unless licence is surrendered during period in which case year of surrender + 1		Retention period may be extended in event of information likely to result in observation/ objection to authority
	<i>Letters of Representation</i> <i>Letters of Objection</i> <i>Premises Review Applications</i>	Current year + 6 (inc. background papers/ presentations), unless licence surrendered during period in which case year of surrender plus 1		
	<i>Extended Hours Applications</i> <i>Occasional Licences</i>	Current Year + 1		
	<i>Record of Visits/ Licence Holder Interviews</i>	Current year + 6 except where premises close during this period in which case year of closure + 1		
	<i>Letters of Complaint Received</i>	Current year + 3, except where action taken as a result of complain in which case year of complaint acted upon + 6		

Licensing				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.1	<p>The process of administering records in respect of Miscellaneous in terms of the Civic Government (Scotland) Act 1982:</p> <p>Grant & Renewal Applications:</p> <p><i>No objections</i> <i>Objections or Representations</i></p> <p>Public Processions <i>(all enquiry forms and applications)</i></p>	<p>Until either completion of next renewal/ expiry or 3 years Current Year + 6</p> <p>Current year + 1 except where classed as major in terms of Operations 1.2 in which case current year + 6.</p>	<p>Enquiry Papers, Internal Reports, Databases & Correspondence relating to the following licences:</p> <p>Taxi & Private Hire Car, Second-Hand Dealers, Metal Dealers, Boat Hire, Street Traders, Market Operators, Public Entertainment, Indoor Sports Entertainment, Late Hour Catering, Window Cleaners, Charitable Collections and Sex Shops</p>	<p>Civic Government (Scotland) Act 1982 Schedule 1 Section 8</p> <p>Retention period may be extended in event of information likely to result in observation / objection to authority</p>
1.2	<p>The process of administering records relating to Betting, Gaming and Lotteries</p> <p>Grant & Renewal Applications:</p> <p><i>No objections</i> <i>Objections or Representations</i></p>	<p><i>(Retention may be extended in event of information likely to result in observation/ objection to authority)</i></p> <p>Until completion of next Renewal / Expiry Current Year + 6</p>	<p>Enquiry Papers, Internal Reports, Databases & Correspondence relating to:</p> <p>Betting Offices, Bookmakers, Gaming Machines, Bingo Clubs, Casinos, Registered Societies</p>	<p>Gambling Act 2005 s22, schedule 14 s13</p>
1.3	<p>The process of administering records relating to Pedlars</p> <p><i>Grant & Renewal Applications</i></p> <p><i>Police Register</i></p>	<p>Until completion of next Renewal/ expiry except where grant refused in which case current year + 6</p> <p>Offer to Archives</p>	<p>Enquiry Papers, Internal Reports, & Correspondence Station Registers</p>	<p>Pedlars Act 1871 ss. 5(5), 5(6), 8 and 9</p>
1.4	<p>The process of administering records relating to checks of Chemist Registers</p> <p><i>Inspection Records</i> <i>Destruction of Controlled Drugs</i></p>	<p>Current Year + 2 Current Year + 2</p>	<p>Computerised Systems</p> <p>Forms P129 Drugs Destruction Forms</p>	<p>Misuse of Drugs Act 1971 s10</p>
1.5	<p>The process of administering records relating to Test Purchasing</p>	<p>Current Year + 1</p>	<p>Record of Test Purchaser exercise/ Declaration forms of Test Purchaser</p>	
1.6	<p>Pub Watch/ Pub Safe Record of Persons Banned</p>	<p>Current Year + 3 years from end of ban</p>		
1.7	<p>Best Bar None Scheme Record of Inspections</p>	<p>Current Year + 2</p>		

13. MEDIA & COMMUNICATIONS

13.1 APPLICABLE LEGISLATION

[Copyright, Designs and Patents Act 1988](#) (this covers both audio and visual material including video recordings, satellite broadcasts, posters, graphics and computer-generated material).

13.2 STANDARDS

- ISO 5466 Storage of Processed Safety Photographic Film
- BS-ISO 10356 Storage and Handling of Nitrate-based motion picture film
- BS-ISO 12606 Care and preservation of magnetic audio recordings for motion picture and television

13.3 NOTES

Unless otherwise stated, 'current year' for finance records shall be taken to mean the 'current financial year'

This matrix deals with two broad areas:

- Dealing with the media on the work of the police
- Special events, such as exhibitions, campaigns, etc.

Most media and communications records created by the media, press or public relations departments are commissioned by other police departments/sections, ie, Personnel requesting a job advertisement, Community Safety commissioning community information packs, etc., when this is the case, the appropriate commissioning department matrix should be referred to. Because of the unique nature of the records in this matrix, it is as important to consider the storage of the material (it being created and stored on a range of media), as it is to consider the appropriate legislation, hence the three BSI storage standards listed above.

Media & Communications				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	Advertising and publicity material for use in internal or external Campaigns and Projects <i>Recurring Campaigns/Projects</i> <i>Drafts and development material</i>	Destroy at end of project/ campaign Review at Creation + 2 Yrs Review/ Destroy when final copies prepared	Posters, Photographs, leaflets, working briefs, audio-visual, online material	For photographs and audio-visual material, see BSI storage guidelines above.
1.1	Providing Information to the Media <i>Non-incident related</i> <i>Standard crime enquiries/ Incidents</i> <i>Serious crime enquiries/ Major incidents</i> <i>Finding aids (indexes, catalogues, etc.)</i> <i>Image library</i> <i>Prepared answers to routine questions</i>	Current Year + 2 Yrs Current Year + 6 Yrs Review Current Year + 12 Current Year + 12 Select Destroy when superseded	Press releases, Press conference previews, Paper based/ Computerised press release indexing systems	Consider retention of information supplied to media relating to serious crime enquiries / major incidents for as long as case is retained
1.2	Monitoring Information in the media <i>Non-incident related</i> <i>Incident</i> <i>Major incidents</i> <i>Digests of information / finding aids</i>	Current year + 2 Current year + 6 Current year + 12 Archive	Press cuttings, Audiovisual tapes of televised/ radio reports, Press report digests	See BSI storage guidelines above
1.3	Special events <i>Events of Historical Significance</i> <i>Other Events</i>	Review & offer to archives Review Current Year + 3	Correspondence, Reports, Visitor books, Calendars, Brochures and guides, Programme of events, Audiovisual record of proceedings	Seek to retain at least one copy for reference/historical purposes. See BSI storage guidelines above.
1.4	Development and publication of Service Magazines or equivalent	Archive Magazines, Select photos All other records Current Year + 1	Service Magazine/ Newsletter, Working Papers, Photographs	Select photos for permanent retention
1.5	Journals	Review Current Year + 1	Magazines, journals, papers, received by Police	It may be prudent to retain one copy for reference in a 'library', with guidelines as to how far back issues are kept.

14. OPERATIONAL SUPPORT SERVICES

Operational Support Services - Air Support				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.1	Administration of Helicopter Flying Hours and Duties <i>Incidents requiring Helicopter Assistance</i> <i>Accidents involving helicopter</i> <i>Records of Flying Hours</i>	As per crime list Archive Current Year + 1*		*Summarised statistics may be retained

Operational Support Services - Armed Response				
Ref.	Function Description	Retention Action	Examples of Records	Notes
2.1	Administration of Service Firearms - Register of Service Firearms	Archive	Purchase and disposal records, serial numbers	
2.2	Process of issuing and recording the use of Police Firearms - Daily Weapons Checks/ Incident Reports	Refer to Operations		

Operational Support Services - Dog Branch				
Ref.	Function Description	Retention Action	Examples of Records	Notes
3.1	Administration of Injuries and Accidents caused by Police Dogs <i>Injury to Employee of the Service or it's predecessor Forces</i> <i>Injury to Member of the Public</i> <i>Accident/Damage caused by/involving Police dogs</i>	Archive Personnel copy Current Year + 3 Current Year + 3		
3.2	Breeding, Purchase, Disposal and Care of Dogs <i>Dog Branch Records/Files</i>	Disposal + 3 Years*	Breeding, pedigree, acquisition, care and disposal records.	Summary details of breeding programme may be reviewed for archives
3.3	Development and Provision of Training Courses for Dogs and Handlers <i>Development of Dog and Handler Training</i> <i>Provision of Dog and Handler Training</i> <i>Record of Dog and Handler Training</i> <i>Register of Dog and Handlers Trained</i>	Refer to Training Refer to Training Refer to Personnel list Permanent		

Operational Support Services - Mounted Branch				
Ref.	Function Description	Retention Action	Examples of Records	Notes
4.1	Administration of Injuries and Accidents caused by Police Horses <i>Injury to Employee of the Service or it's predecessor Forces</i> <i>Injury to Member of the Public</i> <i>Accident/Damage caused by/involving Police horses</i>	Archive Personnel copy Current Year + 3 Current Year + 3		
4.2	Development and Provision of Training Courses for Horses and Riders <i>Development of Rider Training/ Provision of Rider Training</i> <i>Record of Rider Training</i> <i>Development of Horse Training</i> <i>Record of Training given to specific horses</i>	Refer to Training Refer to Personnel list As Training Disposal + 1 year		
4.3	Purchase, Disposal and Care of Horses <i>Equine Registers</i> <i>Record of Rest Days</i>	Disposal + 1 year Current month + 1	Vets records, History, Training, Control Sheets	

Operational Support Services - Mountain Rescue				
Ref.	Function Description	Retention Action	Examples of Records	Notes
5.1	Development and Provision of Mountain Rescue Training <i>Development of Mountain Rescue Training</i> <i>Provision of Mountain Rescue Training</i> <i>Record of Mountain Rescue Training</i>	Refer to Training Refer to Training Refer to Personnel		
5.2	Administering the Care and Management of Mountain Rescue Equipment - Equipment Maintenance	Refer to Health & Safety		

Operational Support Services - Public Order				
Ref.	Function Description	Retention Action	Examples of Records	Notes
6.1	Development and Provision of Public Order Training <i>Development of Public Order Training</i> <i>Provision of Public Order Training</i> <i>Record of Staff Public Order Training</i>	Refer to Training Refer to Training Refer to Personnel		

Operational Support Services - Underwater Unit				
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Ref.	Function Description	Retention Action	Examples of Records	Notes
7.1	Development and Provision of Police Diving/ Underwater Skills Training <i>Development of Diving/Underwater Training</i> <i>Provision of Diving/Underwater Training</i> <i>Record of Staff Diving/Underwater Training</i>	Refer to Training Refer to Training Refer to Personnel		
7.2	Administering the Care and Management of Diving Equipment <i>Equipment Maintenance</i>	Refer to Health & Safety		

Operational Support Services - Support Services				
Ref.	Function Description	Retention Action	Examples of Records	Notes
8.1	Policing Arrangements for Managing Bomb Threats and Terrorism	Review Current Year + 2		
8.2	Administration of Public Visits to or from Support Services Premises and Staff (eg Kennels, Stables) <i>Records of Visits/ Letters of Appreciation</i>	Current Year + 1	Correspondence	Includes arrangements for PR work undertaken by Support Services at shows, galas, events etc.
8.3	Process of Incident Logging	Refer to Operations		
8.4	Process of Crime Recording and Investigation	Refer to Crime		
8.5	Police Search Co-ordinators and Advisers <i>Record of Search Co-ordinator/Adviser Training</i> <i>Search Co-ordinator/Adviser's Licensing Scheme Records</i>	Refer to Personnel Current Year + 1*	Personal Log Book	*Licensing scheme requires examination of logbook 1 year after training and every three years thereafter.

15. OPERATIONS

15.1 APPLICABLE LEGISLATION

- [Working Time Regulations 1998](#)/ 1833 Regulations 4 and 9 and Schedule 3 Regulation 2
- [Civic Government \(Scotland\) Act 1982 Section 68\(6\)](#)
- [Road Traffic Act 1988](#) Sections 45(6B), 46(A) and Schedule 2Ai(3)

Operations				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	<p>Process of maintaining records relating to persons held in Police Custody at police stations and courts - including</p> <p><i>Nominal Details (Incl. Name, Alias, Birth, Occupation, Address)</i></p> <p><i>Injuries & Risk Assessment</i></p> <p><i>Apprehension/Detention Details</i></p> <p><i>Property</i></p> <p><i>Personal Description</i></p> <p><i>National Computer Cross Checks (PNC/CHS)</i></p> <p><i>Medical Examinations & Treatment</i></p> <p><i>Visits to / Checks of Prisoner</i></p> <p>Serious Crime Enquiry</p> <p>Standard Crime Enquiry</p> <p>Custody in which episode report created</p>	<p>Review Current Year + 12</p> <p>Current Year + 6</p> <p>Review Current Year + 12</p>	Computerised & Paper based Custody Record Systems	
1.1	<p>Process of maintaining records of Duty Tours performed by personnel - including:</p> <p><i>Nominal Details (inc. name, rank, number, station, skills)</i></p> <p><i>Hours Worked</i></p> <p><i>Overtime/Time off in Lieu</i></p> <p><i>Rest Days</i></p> <p><i>Public Holidays</i></p> <p><i>Training Dates</i></p> <p><i>Nature of Duties Performed</i></p> <p><i>Sickness/Injury</i></p> <p><i>Annual Leave</i></p>	Current Year + 6	Computerised Resource Management Systems, Manual Records	<p>Working Time Regulations 1998/ 1833 regs 4 and 9, schedule 3 reg 2</p> <p>Separate systems are in place across the Service to record different aspects of duty tours</p>

Operations				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.2	<p>The policing arrangements prepared for Operational Events, VIP & Royal Visits - including</p> <p>Exceptional events & operations (<i>eg War, Major Disasters, Foot & Mouth Outbreak</i>)</p> <p>Large scale operations (<i>eg Major Public Marches & Demonstrations, Major Industrial Disputes, Major Sporting Events, Parliamentary Elections</i>)</p> <p>Routine operations (<i>eg Minor Parades, Sporting Events</i>)</p>	<p>Offer to Archives</p> <p>Current Year + 6</p> <p>Current Year + 1</p>	<p>Paper-based/ Computerised Briefing & Debriefing Systems</p> <p>Operational Risk Assessments</p>	
1.3	<p>Process of maintaining records relating to Lost & Found Property - including:</p> <p><i>Reports of Lost Property</i></p> <p><i>Found Property Handed in to Police</i></p> <p><i>Sales of Unclaimed Found Property</i></p>	<p>Current Year + 6</p>	<p>Computerised and Paper-based Record Systems</p>	<p>Civic Government (Scotland) Act 1982 s68(6)</p> <p>Includes financial receipts for Found Property</p>
1.4	<p>Process of maintaining records (HORT2) relating to the production of driving documents at police stations - namely completed HORT2 Registers</p>	<p>Current Year + 2</p>	<p>HORT2 Books</p>	<p>Road Traffic Act 1988 ss. 45(6B), 46A</p>
1.5	<p>Process of Incident Logging - including records arising from requests for police assistance and the deployment and management of police resources:</p> <p><i>Telephone Calls from the Public reporting incidents</i></p> <p><i>Messages from internal Service Personnel</i></p> <p><i>Messages from external Forces & Agencies</i></p> <p><i>Warning markers held on command and control systems</i></p> <p><i>Records of insertion, review and deletion of warning markers</i></p> <p><i>Automatic location transmission data received from vehicles and officers</i></p>	<p>Current Year + 6</p> <p>Current Year + 2</p> <p>Review annually</p> <p>Deletion of marker + 3 yrs</p> <p>Current Year + 2</p>	<p>Command & Control Systems, Recorded Calls, Message Forms, Decision Logs, Policy Files, Operational Risk Assessments</p> <p>Markers relating to officer safety issues, civil interdicts, registered sex offenders and firearms licensees etc</p>	
1.6	<p>Process of circulating Operational Messages throughout the Service or Division thereof - including:</p> <p><i>Action Messages/ Lookout Messages/ Information Messages/ All Stations Circulations/ Station Log Books/ Station Scroll Books</i></p>	<p>Current Year + 1</p>	<p>Email Systems</p> <p>Scroll Books</p>	
1.7	<p>Process of recording Occurrences investigated by the Service - including</p> <p><i>Major Incidents (non criminal)</i></p> <p><i>Missing Persons: Untraced</i></p> <p><i>Missing Persons: Traced</i></p> <p><i>Other incidents (eg sudden deaths, fires)</i></p>	<p>Review Current Year + 12</p> <p>Permanently</p> <p>Current Year + 6</p> <p>Current year + 6</p>		<p>Computerised and Paper-based Record Systems</p>

Operations				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.8	Process of maintaining records relating to the use of Police Vehicles - including: <i>Vehicle Log Books</i>	Vehicle Disposal + 1 Year	HORT4 Books	Road Traffic Act 1988 Schedule 2A(3)
1.9	Process of recording the issuing of specific items of Police Equipment - including: <i>CS Spray/ Police Firearms</i>	Current Year + 1		If discharged, at determination of CC
1.10	Process of maintaining records relating to Emergency & Contingency Exercises - including: <i>Exercises led by Central Government</i> <i>Local Multi-Agency Exercises</i>	Review Current Year + 10 Review Current Year + 5	Remount /Aglow exercises Local Authority Emergency Planning Exercises	
1.11	Process of maintaining records relating to Traffic Policing - including: The application of Fixed Penalty Notices (FPNs) The reporting and investigation of damage & non-serious injury traffic collisions <i>The prosecution of minor traffic-related offences</i> The reporting and investigation of serious injury & fatal traffic collisions Images captured by Safety Cameras <i>Detected offences where FPN not offered due to seriousness of offence or not paid</i> <i>Detected offences where FPN paid</i> <i>Images not required for evidential purposes</i>	Current Year + 3 Current Year + 6 Review Current Year + 12 Current Year + 6 Current Year + 3 31 days	Computerised and Paper-based Record Systems Fixed Penalty Notices Traffic collision reports, Scene records - plans, videos, Breath Procedure Logs, Prosecution Reports Photographic Evidence As per standard crime	Whilst these retention periods are reflective of best practice, steps taken to meet must not interfere with the evidential integrity of the records.
1.12	Execution of warrants Executed warrants (all types) Receipt of money when fine paid Search warrants Arrest warrants not executed Means enquiry warrants not executed Extract convictions warrants not executed	Current Fin Year + 6 Refer to '8 - Finance' Refer to '7 - Crime' 3 years following notification from PF 3 Fin years following notification from Court 3 years following notification from PF	Warrant enquiry records Search record	Original warrant returned to issuing court when subject arrested Police (CC) Circular 8/1985 Appendix B

Operations				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.13	Bail orders	6 months from date of cancellation	Copy bail orders CHS bail order chapter entries	Historic bail details held on CHS for 3 years from date of cancellation. Issuing court will hold the principal document.
1.14	Undertaking to appear	Refer to '7 - Crime'	Copy of undertaking to appear signed by accused released from custody in terms of s22, Criminal Procedure (Scotland) Act 1995	
1.15	Interdicts	Current year + 3 from date of cancellation. Review for currency annually where interdicts do not state date of cancellation.	Interdicts granted under the Matrimonial Homes (Family Protection) (Scotland) Act 1981, the Protection from Abuse (Scotland) Act 2001 and similar where a copy is served on the Chief Constable.	
1.16	Files relating to Anti-Social Behaviour Orders and Interim Anti-Social Behaviour Orders (ASBOs) Fixed term Indefinite term Information supplied to local authorities for the grant of ASBOs	Duration of order + 3 years from date of cancellation Review for currency 5 years after ASBO issued Current Year + 1	Copy of Order provided to the Chief Constable Copy of observations made by Chief Constable during statutory consultation made when application for ASBO being pursued by Local Authority/ Registered Social Landlord	
1.17	The process of recording CCTV images in public areas Images not required for evidential purposes in legal proceedings Images required for evidential purposes in legal proceedings	31 days Refer to '7 - Crime'		Information Commissioner's CCTV code of practice
1.18	Records of the calibration of intoximeters	Current Year + 6		
1.19	The process of serving legal documents	Destroy no more than 6 months after service	Witness citations Countermands	
1.20	Records of the use of force by police officers on duty	Current Year + 6	Use of Force forms	

Operations				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.21	Records produced by Security Access Systems to Police Buildings	Current Year + 1 Destroy	Data from the swiping of proximity cards	
1.22	Process of maintaining records relating to the application of Fixed Penalty Notices (FPNs) for Anti-Social behaviour offences	Current Year + 3	Computerised and Paper-based Record Systems Fixed Penalty Notices	

16. PERSONNEL, TRAINING & RECRUITMENT

16.1 APPLICABLE LEGISLATION

There are a large number of Acts of Parliament, regulations, statutes and professional guidelines that determine and manage employment and employment terms and conditions of service. In general terms there is little within these documents that either stipulate or recommend how long records and information should be kept. However the spirit and purpose of these documents can be used to assist in determining retention periods. Therefore, where no specific, named source is given for a recommended retention within this document, it can be assumed that the retention is suggested on this basis.

All records relating to payments are dealt with under the Recommended Record Retention Periods for Finance.

Other useful sources include (not a comprehensive list):

- [Data Protection Act 1998](#) (although it does not stipulate retention)
- [European Convention on Human Rights](#)
- [Employment Rights Act 1996](#)
- Police (Scotland) Acts (various)
- [Police Scotland Regulations 2004](#) SSI 2004/257s15(3)
- [Official Secrets Act 1989](#)

While the records of training are similarly not generally included in legislation and statute, it is good practice to retain evidence of training to show that they are undertaking their obligations under the various acts. This includes for example, evidence of time spent on firearms practice, equal opportunities training received, etc.

Personnel - General				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	<p>Process of administering the service of Police Officers, Cadets and Special Constables - summary information including:</p> <p><i>Name(s) - including changes from marriage/divorce</i> <i>Date of Birth</i> <i>Date of Appointment</i> <i>Work History Summary (Divisions, roles, promotions and transfers, titles and dates held)</i> <i>Training received</i> <i>Awards, Commendations, Incidents of Note</i> <i>Date of Leaving and reason</i> <i>Photograph</i></p>	Offer to Archives	<p>Employment Register</p> <p>Personnel Database (weeded)</p> <p>Personnel Files (weeded)</p>	<p>Common Practice</p> <p>The retention dates suggested assume that pension administration is not reliant on these records</p>
1.1	<p>Process of administering the service of Police Officers, Cadets and Special Constables in accordance with terms and conditions - including:</p> <p><i>Maternity, Paternity and Special Leave</i> <i>Changes to personal details</i> <i>Payments, salaries and wages</i> <i>Assessments and Appraisal/Performance Details</i></p>	Current Year + 6 (following termination of employment)	<p>Force forms</p> <p>Reports</p> <p>File Notes</p> <p>Personnel Database (unweeded)</p> <p>Personnel Files (unweeded)</p>	<p>Salaries and Wages</p> <p>Entitlements</p> <p>The retention dates suggested assume that pension administration is not reliant on these records</p>
1.2	<p>The process of administering the personal record of Police Officers, Cadets and Special Constables:</p> <p><i>Record of punishment in terms of the Police (Scotland) (Discipline) Regulations 1967</i></p> <p><i>Record of a disposal in terms of the Police (Conduct) (Scotland) Regulations 1996</i></p> <p><i>Record of proceedings including disposal under the Police (Efficiency) (Scotland) Regulations 1996</i></p>	<p>3 years free from punishment other than caution</p> <p>3 years free from any disposal other than caution</p> <p>2 years after conclusion of proceedings</p>	<p>Personnel Database</p> <p>Personnel Files</p>	<p>The Police (Scotland) Regulations 2004 (No.257) Section 15.3</p>

Personnel - General				
Ref.	Function Description	Retention Action	Examples of Records	Notes
2.0	Process of administering the employment of Police Staff - summary information including: <i>Name(s) - including changes from marriage/divorce</i> <i>Date of Birth</i> <i>Date of Appointment</i> <i>Work History Summary (Divisions, roles, promotions and transfers, titles and dates held)</i> <i>Training Received</i> <i>Date of Leaving</i> <i>Pension Details</i>	Offer to Archives	Employment Register Personnel Database (weeded) Personnel Files (weeded)	Common Practice The retention dates suggested assume that pension administration is not reliant on these records
2.1	Process of administering the employment of Police Staff in accordance with terms and conditions - including: <i>Maternity, Paternity and Special Leave</i> <i>Changes to personal details</i> <i>Payments, salaries and wages</i> <i>Assessments and Appraisal/Performance Details</i>	Current Year + 6 (following termination of employment)	Force forms Reports File Notes Personnel Database (unweeded) Personnel Files (unweeded)	Salaries and Wages Entitlements The retention dates suggested assume that pension administration is not reliant on these records
3.0	Recording, Monitoring and Management of Absence	Current Year + 6	Absence Management Database	
4.0	The recording and amendment of staff Conditions of Service , including statutory and policy based conditions	Archive	Conditions of Service Manual	Common Practice
4.1	Equal Opportunities investigation and reporting on cases and grievances	Current Year + 6	Equal Opportunities Case/Grievance File	Common Practice
4.2	Police Staff misconduct investigation and imposition of disciplinary warnings - outcome of investigation: <i>Verbal Warning</i> <i>Written Warning</i> <i>Final Written Warning</i> <i>Unsubstantiated (case concluded)</i> <i>Resigns/leaves during process, (case not concluded)</i>	6 months 12 months 18 months Destroy at conclusion of case Current Year + 6	Investigation Case File Disciplinary Cases Database Record of Warning held on Personnel File	Retention commences with imposition of warning or, where outcome appealed, conclusion of appeal. Record of warning may be retained if a further warning is imposed on an employee whilst the earlier warning is unspent.
4.3	General administration of the Service Personnel Function - examples include: <i>Restructuring/ Civilianisation/ Staffing Proposals/ Industrial Relations</i>	Review Current Year + 2	Files, Records and Documents, Minutes of Meetings, Reports	Common Practice

Personnel - Training				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	Development and provision of Staff Training courses: <i>Aims and Objectives / Course Outline</i>	Archive	Course Booklet Course Outline	Common Practice
1.1	Development and provision of Staff Training courses: <i>Course Documentation/ Presentations/ Pre-Reading</i>	Current Year + 6	Course Handout Master, presentations, Pre-reading List Master, Research Material, Course Development Records	
1.2	Development and provision of Staff Training courses: <i>Administration of courses</i>	Current Year + 1		
2.0	General administration and projects of the Service Training function - Examples include: <i>Training and development strategy</i> <i>Responses to legislative and regulatory changes</i>	Review and weed using force criteria at end of project or once every 2 years.	Project Files, Project Records and Documents, Minutes of Meetings, Reports	Common Practice

Personnel - Recruitment				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	The process of Recruitment and Selection of Police Officers, Special Constables and Cadets <i>Successful candidates</i> <i>Unsuccessful candidates</i>	Retain and pass to personnel Current Year + 2 <i>(Minimal information may be retained in order to implement policy for automatic rejection of those with three unsuccessful applications)</i>	Application Form Copy Birth Certificate Home Assessment Record of Interview	Section 7 of the Data Protection Act requires that applicants must be informed that those details may be retained
2.0	The process of Recruitment and Selection of Police Staff <i>Successful candidates</i> <i>Unsuccessful candidates</i>	Retain and pass to personnel 6 months	Application Form Copy Birth Certificate Record of Interview	Where a claim has been made, retain until conclusion of case
3.0	The development and monitoring of Recruitment Selection Criteria and Policy	Archive	Selection Criteria Minimum requirements Recruitment Policy	
4.0	General administration and projects of the Service Recruiting function - Examples include: <i>Changes to selection criteria/ Careers fairs and promotions</i>	Review and weed using Service criteria at end of project or once every 2 years.	Project Files, Project Records and Documents, Minutes of Meetings, Reports	Common Practice

Personnel - Occupational Health				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	The process of managing the Medical Welfare and Health of staff	Destroy 100 years from date of birth	Medical records Occupational Health Records	Common Practice

Personnel - Promotion				
Ref.	Function Description	Retention Action	Examples of Records	Notes
5.1	The development and monitoring of Promotion Selection Criteria and Policy	Archive	Promotion Policy, Selection Criteria, Record of Competencies under assessment, Record of Standard of Assessments	
5.2	Process of Application by Police Officers for Promotion (successful and unsuccessful candidates)	Current Year + 2	Application Form, References	
5.3	Promotion Process	Current year + 2	Assessment Centres/ Promotion Panels, Exercise Assessment Sheets, Record of Interview, Record of Overall Assessment, Record of Feedback	
5.4	Formal notification of outcome of application	Retain and pass to Personnel	Letter to candidate, Record of feedback	

Personnel - Vetting				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	<p>The process of undertaking pre-employment vetting checks on applicants for employment as a Police Officer, Special Constable or Cadet</p> <p>Record of vetting episode, including summary of checks undertaken and result and outcome of episode:</p> <p><i>Candidates refused clearance (or where candidates do not take up post)</i></p> <p><i>Candidates granted clearance</i></p> <p>Information gathered in vetting episode:</p> <p><i>Candidates refused clearance</i></p> <p><i>Candidates granted clearance</i></p>	<p>6 months</p> <p>Current Year + 6 (following termination of employment)</p> <p>6 months</p> <p>Review for continuing relevance no later than current year + 2</p>	<p>Vetting form</p> <p>Tracking systems</p> <p>Record of outcome</p> <p>Information downloaded from crime, intelligence & criminal history systems</p>	ACPO National Vetting Policy Issue 1

Personnel - Vetting				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.1	<p>The process of undertaking pre-employment vetting checks on applicants for employment as Police Staff:</p> <p>Record of vetting episode, including summary of checks undertaken and result and outcome of episode:</p> <p><i>Candidates refused clearance (or where candidates do not take up post)</i></p> <p><i>Candidates granted clearance</i></p> <p>Information gathered in vetting episode:</p> <p><i>Candidates refused clearance</i></p> <p><i>Candidates granted clearance</i></p>	<p>6 months</p> <p>Current Year + 6 (following termination of employment)</p> <p>6 months</p> <p>Review for continuing relevance no later than current year + 2</p>	<p>Vetting form</p> <p>Tracking systems</p> <p>Record of outcome</p> <p>Information downloaded from crime, intelligence & criminal history systems</p>	<p>ACPO National Vetting Policy Issue 1</p>
1.2	<p>The process of undertaking 10 year review vetting checks of Police Officers, Special Constables and Police Staff</p> <p>Records of vetting episode, including summary of checks undertaken with results and outcome of episode:</p> <p><i>Candidates granted clearance following review</i></p> <p><i>Candidates refused clearance following review</i></p> <p>Information gathered in vetting episode</p> <p><i>Candidate refused clearance following review</i></p> <p><i>Candidate granted clearance following review</i></p>	<p>Current Year + 6 (following termination of employment)</p> <p>Current Year + 6</p> <p>Current Year + 6</p> <p>Review for continuing relevance no later than current year + 2</p>		<p>Where litigation ensues, retain until case concluded</p>

Personnel - Vetting				
Ref.	Function Description	Retention Action	Examples of Records	Notes
2.0	<p>The process of undertaking Management Vetting</p> <p>Record of vetting episode, including summary of checks undertaken, and result and outcome of episode:</p> <p><i>Police Officers</i> <i>Police Staff</i></p> <p>Information gathered in vetting episode</p> <p><i>Clearance granted but not required following subsequent transfer to non-MV post</i> <i>Clearance granted and subsequently renewed</i> <i>Clearance granted but not renewed</i> <i>Clearance refused</i></p>	<p>Current Year + 6 (following termination of employment)</p> <p>Year of transfer plus 1 Following subsequent renewal Year of expiry of clearance + 1 6 months</p>	<p>Vetting form Tracking system Record of outcome</p>	<p>Note: Clearance lapses after year of transfer + 1</p>
3.0	<p>The process of undertaking National Security Vetting</p> <p>Record of vetting episode, including summary of checks undertaken, and result and outcome of episode:</p> <p><i>Staff who retire from the Police Service</i> <i>Staff who resign from the Police service prior to retirement</i> <i>Staff who die during service</i></p>	<p>Retirement + 5 calendar years Resignation + 10 calendar years Death + 1 calendar year</p>		<p>ACPO National Vetting Policy Issue 1</p>
4.0	<p>The process of Vetting Non-Police Personnel (NPPV) to allow access to Service facilities</p> <p>Records of vetting episode, including summary of checks undertaken with results and outcome of episode:</p> <p><i>Candidates granted clearance</i> <i>Candidates refused clearance</i></p> <p>Information gathered in vetting episode</p> <p><i>Candidate granted clearance</i> <i>Candidate refused clearance</i></p>	<p>Expiry of vetting clearance + 1 calendar year 6 months</p> <p>Duration of clearance + 1 year 6 months</p>	<p>Vetting form Tracking systems Record of outcome</p> <p>Information downloaded from crime, intelligence & criminal history systems</p>	<p>ACPO National Vetting Policy Issue 1</p> <p>To enable the Service to evidence decisions</p>

17. PROFESSIONAL STANDARDS

17.1 APPLICABLE LEGISLATION

- [Police and Fire Reform \(Scotland\) Act 2012](#)
- [Police \(Conduct\) \(Scotland\) Regulations 1996/ 1642 Regulation 24](#)
- [Police \(Conduct\) \(Senior Officers\) Scotland Regulations 1999/ 1074 Regulation 30](#)

Professional Standards				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.1	Records relating to Criminal Complaints - on and off duty	See '7 - Crime' From date case closed on Centurion: Standard crime - current year + 6 Serious crime - current year + 12	Centurion computerised record Associated scanned documents on Centurion All paper records relating to case CAP recording form I.O.'s report/ statements etc CD/DVD's	If case is linked to another file eg related misconduct case then case should not be disposed of whilst associated case is still live. This would include situations where there is an appeal ongoing or civil litigation.
1.2	Records relating to Non-Criminal Complaints - on and off duty	From date case closed on Centurion: Current Year + 6		
1.3	Records relating to Quality of Service Complaints	From date case closed on Centurion: Current Year + 6		
1.4	Records relating to Misconduct Cases <i>Investigation File</i>	From date case closed on Centurion: Current Year + 6	Centurion computerised record Associated scanned documents on Centurion All paper records relating to case I.O.'s report/ statements etc CD/DVD's	If paper and electronic records duplicate each other, only one format requires to be retained as 'the record'.
1.5	Records relating to Officer Case Conferences <i>Full Case Conference record</i>	From date case closed on Centurion: Current year + 6	Centurion computerised record Associated scanned documents on Centurion All paper records relating to case	
1.6	Records relating to Business Interests/ Secondary Employment	Duration of staff service (delete when staff member retires/resigns) Where staff member notifies that they no longer hold a business interest/ secondary employment during service, then retain for current year + 6 from date notified	Business Interest/ Secondary Employment Register	The Register should be reviewed regularly to ensure it is up to date. It is suggested that the minimum review period would be every three years.
1.7	Records relating to Fixed Penalty Notices (FPNs) for staff	From date case closed on Centurion: Current Year + 4		
1.8	Records relating to General Correspondence	Current Year + 3	Legal Assistance Applications Other Miscellaneous correspondence	
1.9	Records relating to General Administration	Current Year + 1	Information collated for FOI responses	

Professional Standards				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.10	Records of complaints made by persons considered to be Vexatious Complainers	Review Current Year + 6	Forms CD1, Investigating Officer Notebooks, Case Papers	
1.11	Process of maintaining information to ensure adherence with Internet Use policy	12 months, then Destroy	Internet Logs	

18. PROJECTS

Projects				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	Records relating to Project Management: <i>Proposal Documents (Approved)</i> <i>Project Costs / Benefits</i> <i>Project Initiation Documents (PID)</i> <i>Change Report</i> <i>End Report</i> <i>Quality Controls</i> <i>Risk Analysis</i> <i>Risk Register</i> <i>Progress Report</i> <i>Strategy Progress</i>	Archive Review on Completion of Project + 6 Yrs	Project Proposal Documents PIDs, Business Cases	
1.1	Project Documentation records: <i>Rough Notes & Ephemera</i> <i>Working Papers</i> <i>Project Review & Evaluation - Final Report</i> <i>Project Review & Evaluation - Working Papers</i>	At Discretion Review Current Year + 6 Archive Current Year + 1	Compliments Slips etc Memos, Correspondence, Reports Final Evaluation Summary Report Surveys, Notes from visits, Reviews	

19. PROPERTY

Property				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.1	<p>Activities associated with the acquisition and disposal of property</p> <p>Property registers and reports</p> <p>Title deeds and associated documents</p> <p>Leases and associated documents</p> <p>Land searches</p>	<p>Archive</p> <p>Retain until property disposed of. Offer to Archives if not required by new owner.</p> <p>Expiry of lease + 12 years</p> <p>Current Year + 6</p>	<p>Consolidated property & buildings annual reports, Summary of leased property, Summary of local authority's owned property, Site register, Register of leases</p> <p>Leases, Memoranda of terms, Subletting agreements, Schedules of alterations</p>	
1.2	<p>Activities associated with the development and renovation of property</p> <p>Buildings and estates of 'special interest'</p> <p>All other buildings and estates</p> <p>Construction contract records</p> <p>Construction project management records</p> <p>Records relating to special events: official openings, dedications, major refurbishments</p>	<p>Permanent</p> <p>Retain for life of property or building</p> <p>Refer to '8 - Finance'</p> <p>Refer to '19 - Projects'</p> <p>Refer to '14 - Media/ Communications'</p>	<p>Project specifications, Plans, Installation manuals, Planning and building control consents and correspondence, Prints and negatives - work in progress, completed works</p>	<p>Particular care should be taken when reviewing these records, the nature of the development may dictate a long retention for all records.</p>
1.3	<p>Activities associated with the maintenance of property</p> <p>Management of maintenance activities</p> <p>Maintenance contract records</p> <p>Records of inspections of property, plant and equipment</p> <p>Records documenting routine maintenance</p> <p>Maintenance and operational manuals</p>	<p>Last action + 10 years</p> <p>Refer to '8 - Finance'</p> <p>Refer to '11 - Health & Safety'</p> <p>Current Year + 6</p> <p>When equipment disposed of, destroy or transfer to new owner</p>	<p>Maintenance programme/ schedules, Forward maintenance registers (FMR), Maintenance diaries</p> <p>Maintenance requests for cleaning, painting, grounds maintenance, electrical maintenance</p>	<p>Refer to '11 - Health & Safety' for recommendations relating to property hazards, incidents and inspections</p>

20. PUBLIC PROTECTION

Public Protection				
Ref.	Function Description	Retention Action	Examples of Records	Notes
1.0	Records relating to the protection of children	<p>Review when child reaches age of 18 based on:</p> <ul style="list-style-type: none"> information/ intelligence exists which suggests links to other child protection cases information required for ongoing protection of other potential victims - for example abuse within the same family or linked by the same accused/ suspect information/ intelligence exists which suggests that the child will go on to become an adult at risk & the information is required for their ongoing protection <p>Records retained beyond the age of 18 to be reviewed every 12 years for continuing relevance</p>	Child Protection case files Records held on Vulnerable Persons Database	<p>Related Intelligence records will be held on SID and subject to its rule set as defined in 'Intelligence'.</p> <p>Likewise, crime records will be retained on crime recording systems and are subject to the rules defined in 'Crime'.</p>
2.0	Records relating to the protection of adults	Review every 12 years for continuing relevance	Adult Protection case files/ Records held on Vulnerable Persons Database	
3.0	Records relating to the management of Registered Sex Offenders (RSOs)	<p>Lifetime of offender - Subject to periodic reviews for relevancy</p> <p>(either every 12 years or on expiration of notification requirements (up to 15 years) - whichever is longest)</p>	Crime Records & Management Records (ViSOR) relating to offenders who are either subject to notification requirements or are assessed by Offender Management Units as posing a similar risk.	<p>Crime records may include those where the offender was the victim or complainant - subject to relevancy to their ongoing management.</p> <p>Records stored on systems such as ViSOR and SID have their own National Standards for retention and disposal and those records will be retained in line with such standards. ie ViSOR works on the "100 year" rule, whereby records are considered for disposal once the nominal has reached 100 years of age. Prior to the 100 year threshold, only when a Nominal record is created in error should it be deleted.</p>
4.0	Records relating to membership of the Protection of Vulnerable Groups (PVG) scheme	<p>Current Year + 5</p> <p>(from the date of the last activity associated with the record)</p>	Initial applications, Record of decision, Records relating to active monitoring process	
5.0	Applications under the Keeping Children Safe scheme	Current Year + 3	Applications, Record of decision	

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APPENDIX 'G'

FORMER STRATHCLYDE POLICE (DIVISIONS 9 – 13)

ADMINISTRATION (STRATHCLYDE VARIANCES AND ADDITIONS)

Administration (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
E-Mail Messages and E-Mail Attachments Inbox Sent Items Deleted Items Personal Folders Public Folders Calendar E-Mail Messages captured by Monitoring Software Actioned by PSU, resulting in disciplinary action No action taken	30 days 30 days 30 days Destroy + Admin Function specific with 90 days default 365 days Refer to 'Professional Standards' 2 months	All email and attachments Electronic Calendar	Best Practice Please refer to note on Administration page header. Reviewed by Information Structure Project and approved at ISSSG on 20/09/06 ECSG MailMarshall Meeting 27/03/07 Rule set for monitoring software held by PSU
The process of administering Computer Enquiry Validation Validation Forms Control Sheets	Current year + 1 Current year + 3	Form 1:9:3 Control Sheets	
Collection and Subscription for Retirement , etc (formal)	Current year + 6	Form 2:14:1	
The provision of advice, guidance and interpretation of Force Policy and Procedures Generic Specific (to named individuals)	Archive Current year + 3	Policy Administration & relevant departments providing such advice, guidance & interpretation section files & records	

The administration of Award Schemes	Current year + 2	Excellence Awards COSLA Awards	
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OFFICE SYSTEMS CENTRES (OSCS)

Each territorial division within Strathclyde Police maintains one or two OSCs in addition to those based in FHQ and at FTC. Several departments also maintain a smaller resource of between one and three members of staff providing a word processing service. In all divisions and in FHQ, the function of OSC is to provide a word processing service.

The bulk of the work of OSCs is made up of PF correspondence. Until the introduction of the Intranet Case Reporting System (ICRS), all correspondence with PFs, once finalised, was copied from OSC to the divisional electronic registry, maintained by Divisional Administration/Case Management. Although it is no longer added to, the Registry system is acknowledged in Force as the 'master' record and is the system to which officers should refer when requesting copy statements, etc. for court or reference purposes for the period pre-dating 2006.

The ICRS replaced Registry as the store for statements in 2006 and will also become the repository for other PF correspondence and related work. As a result, OSCs now input information directly to ICRS, copies are not held on OSC shared drives.

OSCs also process a wide range of general correspondence from senior management and specific departments or sections such as Divisional Licensing and OMU. Use of OSCs for this purpose varies throughout the Force, often as a result of time, computer availability, keyboard skills and personal preference.

Filing and Management

OSCs have never been provided with specific instruction on these matters as a result, a range of practices exist. In general, OSCs create, maintain and store their work chronologically, using alpha numerical document footers, although work for specific staff such as the divisional commander may be retained in a separate confidential file. Each year FHQ ICT provide a new set of electronic files for OSCs to store and at the same time delete one year's records in entirety from the live system, although back-up may continue to be held. This practice can vary and in some divisions, records are removed from the server when space becomes an issue.

Over time, OSCs have come to be regarded as an unofficial filing system, although this is not their function. Documents within OSCs can be found through the use of search options, however finding information relies on users knowing:

- That information/a document exists
- Who the author was

- When it was written

The method of filing and document management used by OSCs is contained within the Records Management SOP. This was rolled out throughout divisions during 2007-2008.

It is impossible to apply the retention schedule to the records held by OSC that pre-date 2007-2008, without first referring to each document individually, requiring substantial additional resources. Therefore, the following will apply:

- OSC Records created 1999 - 2004 inclusive

Records for 1999 (plus any predating 1999 and including those only on back-ups) - destroyed in January 2005. Thereafter all records will be destroyed after 6 years on an annual basis, up to and including the records for 2004.

IT will be formally instructed by Records Management to destroy all records using this formula.

- Records created in 2005 and thereafter - PF Correspondence

OSC is a service provider and will not retain records on behalf of the Force

All PF correspondence stored in the registry or ICRS will be retained in OSC for the current year in which it was created, plus one full year and deleted thereafter. Deletion will be carried out on an annual basis. It will be the responsibility of the OSC supervisor (or a delegated representative) to batch delete (or make provision for the deletion of the records by IT) created in 2005 on 1st January 2007 and so on.

Officers seeking copy statements, etc. will be redirected to the registry

All finished work from OSC will be sent with an e-mail message or a manual compliments slip to highlight that the finished document is stored in the electronic registry or ICRS and that all draft versions should be destroyed. It will also highlight that the document will only be stored at OSC for the current year + 1.

Records Management will undertake audits to ensure that master records are being retained appropriately prior to the first round of annual deletions. Should the evidence from this audit show significant disparity between the records created by OSC and those stored as master records, deletion will be postponed and procedures reviewed.

- Records created in 2007-2008 and thereafter - All other records

All PF-related correspondence will continue to be saved directly to ICRS or in the interim, within OSC before inclusion on the registry system. Therefore all OSC documents are working copies and can be destroyed after current year + 2.

All other records created by OSC will be saved to the divisional shared drives in line with the Records Management SOP. Therefore no copy records should exist within OSC files. All early versions of documents should be deleted when the final version is agreed by the author. It is the responsibility of owner departments and sections to properly apply the retention schedule to the files on the shared drives.

- Dictation Files and Equivalent E-mails and Correspondence

'Winscribe system' dictation files and related e-mails and correspondence to be destroyed no later than one month after completion of the work.

'Winscribe system' job logs (containing the job number, author, etc.) will be destroyed after one year.

AUDIT AND COMPLIANCE (STRATHCLYDE VARIANCES AND ADDITIONS)

Internal Audit is an assurance function that primarily provides an independent and objective opinion to the organisation on the control environment comprising risk management, control and governance by evaluating its effectiveness in achieving the organisation's objectives. It objectively examines, evaluates and reports on the adequacy of the control environment as a contribution to the proper, economic, efficient and effective use of resources.

Audit and Compliance (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
Regularity Audits Permanent File Working File	Review Current Year + 10* Review Current year + 5*		* From closure of file
Irregularity Audit Permanent File Working File	Review Current Year + 10* Review Current year + 5*	Irregular audits and joint projects with Force Inspectorate	* From closure of file
Systems Reviews Permanent File Working File	Review Current Year + 10* Review Current year + 5*		* From closure of file
Contract Audit Permanent File Working File	Review Current Year + 10* Review Current year + 5*		* From closure of file
Review of Stocks and Inventories Permanent File Working File	Review Current Year + 10* Review Current year + 5*		* From closure of file
Review of Best Value and Corporate Governance Permanent File Working File	Review Current Year + 10* Review Current year + 5*		* From closure of file
Special Projects Permanent File Working File	Review Current Year + 10* Review Current year + 5*		* From closure of file
The process of carrying out a Data Protection Compliance Audit Audit Report Working Papers	Current year + 5 Audit completion + 2		
The process of carrying out a Thematic Inspection Inspection Report Working Papers and Background Research	Review Current year + 5 Review Audit completion + 2		
The process of carrying out PNC Validation checks Validation Forms	Current Month + 1		
The monitoring of compliance with the Divisional Toolkit	Current year + 5		

COMMUNITY SAFETY (STRATHCLYDE VARIANCES AND ADDITIONS)

It is important to highlight the potential historical value of records within this functional area as it demonstrates the diversity, development and new methods of proactive policing. For example, it is important to review and archive records that demonstrate how the Force provided services for asylum seekers, and how methods of promoting drugs awareness has changed over time.

The high level of partnership working in community safety means that several agencies and organisations are likely to hold the same information.

It is possible that the information retention policies in these organisations will vary from those of the former Strathclyde Police. In most cases, the Force will not retain the 'archive' copy of these records with the exception of Crime Prevention Panels for which we provide the secretary.

Community planning involves the application for funds from external agencies and funds usually with the assistance and involvement of partner organisations. Retention of many of the records created by such work is covered by the guidance issued for financial, personnel and contractual records.

Community Safety (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
The process of administering Community Planning Initiatives Correspondence with partner organisations Advertising and publicity Working Papers, drafts and ephemera	Project + 5 years Project Destroy + Admin	Correspondence Advertising	
The administration of Crime Prevention Panels	Archive	Minutes, Agenda, Papers	Retention only applies if master records, otherwise Current year + 1

<p>The process of planning, implementing, recording and reporting on the initiatives and projects run under the Safer Scotland banner, directed by ACPOS Central Planning team (formerly Spotlight) - Central Planning Team</p> <p>Strategic Development Plans Campaign Strategy Documents National Campaign Statistics</p> <p>Correspondence Ephemera</p>	<p>Archive</p> <p>Campaign + 1 year Destroy + Admin</p>	<p>Letters, reports, statistics</p>	
<p>The process of planning, implementing, recording and reporting on the initiatives and projects run under the Safer Scotland banner, directed by ACPOS Central Planning team (formerly Spotlight) - Forward Planning Team/Divisional Coordinators</p> <p>All records</p>	<p>Campaign + 1 year</p>		
<p>Administration of Public Visits from Force Staff for Educational and Promotional Activities</p> <p>Records of Visits Letters of Appreciation</p>	<p>Current year + 1</p>	<p>Correspondence</p>	<p>School and community visits and talks, promotional activities, e.g. Penguin Pete, bikes, cars</p>
<p>The collection and recording of information for the CCTV Database</p> <p>CCTV Database Data Collection forms</p>	<p>Until superseded Until entered to database</p>	<p>CCTV Database Form 3:40:18</p>	

CORPORATE COMMUNICATIONS (STRATHCLYDE VARIANCES AND ADDITIONS)

Corporate Communications (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
Design Job Files	Review Current year + 2		Best Practice
Photograph Collection	Weed and select best images for permanent retention	Select events, publicity shots, staff mug shots to represent work of force, personalities, etc.	

The Monitoring of Information in the Media			
Media Services	Current year + 1 (Significant and famous cases can be retained if directly related to Force work*)	Press Cuttings Audio-visual tapes of televised/radio, etc. reports Press report digests	*e.g. Ibrox Disaster, Ice-Cream Wars
CID copies (specific cases)	Retain with case file as per Crime guidelines		
Administration of the Force Intranet			
Audit Logs	6 months	SharePoint Audit Logs	

CRIME RECORDS (STRATHCLYDE VARIANCES AND ADDITIONS)

The retention and destruction dates stipulated in this SOP are reliant on the Force's ability to identify individually the type of crime to which each record relates and their final disposal. The Force cannot, at this time accurately weed cases individually due to a combination of system functionality and information structures within our manual systems.

The Force will aim to incorporate automated weeding and destruction into future systems and project managers and system developers must take this requirement into account. Until this is possible, the Force will manage crime records according to the instructions in this document. It is the responsibility of the Force system owner and their delegated responsible officers to ensure that ICT is provided with the authorisation to delete records from systems in line with the retention schedule.

Staff must take cognisance of the generic requirements for the administration, recording and timing of destruction of records and information stipulated in the introduction to this SOP.

Retention of Case Related Documents

The integrity of records and data gathered is fundamental to the investigation of crimes and offences.

All records created, gathered and held as part of an investigation are the property of the Force and should only be retained and stored within Force-authorized storage areas and computer systems.

Officers and Support Staff must not personally retain any case related documents (including copies, transcribed notes, etc.) outwith Force-authorized buildings or systems

From time to time officers and in particular, probationary constables find it useful to maintain a portfolio of selected copy documents (particularly statements) as a training aid.

Personal portfolios for training purposes may be retained according to the rules below.

Each officer that retains a personal portfolio is responsible for its management. However the documents remain the property of the Force.

Portfolios must be retained and stored securely within police-authorized buildings and systems and in line with Force policies and SOPs.

Portfolios must be retained in a folder, structured appropriately and be made available for inspection if requested

Portfolios may only contain copy documents. Unique case related documents, such as handwritten statements must be stored with other case related documents in the Divisional Registry or other appropriate Force file series

Portfolios should contain the final version of documents

Additional storage space will not be provided. The master documents are available from Force Registries and systems

Copy documents in personal portfolios must not be retained longer than the master. Therefore copy case related documents for a standard crime must not be retained for longer than 6 years and for a serious crime must not be retained longer than 12 years

All personal portfolios must be destroyed prior to officers leaving the Force. Officers and support staff may not retain any case related documents, records, notes or associated recorded information on any format after leaving the Force

Serious Crime Enquiries

Problems exist in differentiating between serious and standard crimes in existing Force systems for weeding purposes. Weed dates for electronic records are defined below. Notwithstanding the destruction of these electronic records, manual (printed copies) from these systems pertaining to individual serious crime enquiries must be retained with the rest of the case related documents if electronic copies cannot be maintained for current year + 12 years.

At the closure of an incident room for a serious crime enquiry (resolved or undetected), the SIO must complete an End of Enquiry Checklist (Force Form 1.65:1) in conjunction with a situational report.

The End of Enquiry Checklist details all possible case related documents and should be marked to indicate what information exists, how it has been retained or if copies have been printed from electronic systems

Where Force IT systems do not support the weeding or marking of individual case-related documents and information for a 12 year or indefinite retention, the SIO should ensure that copies are printed from the system, certified as a true copy and retained with the case related documents

The End of Enquiry Checklist should be inserted into a separate file at the front of the first box associated with the case.

Standard Force Storage Boxes¹ must be used for all cases after January 2006. The Crime Reference Number must be marked on the exterior of each box along with a sequential box number.

Each divisional CID and specialist squad is required to compile, update and retain permanently an electronic index of all serious crime enquiries that have been concluded in this fashion. This is the responsibility of the CID Clerk

Certain criminal investigations are of intrinsic historical interest to society, on a national or local scale. Consideration may be given to retaining these case related documents as historical archives. This will be the exception rather than the rule. Where the officers noted in 2.8 consider that a crime enquiry has genuine historical value, further discussion is required with the Records Manager.

Preservation, care and access to case related documents for crime enquiries designated as having historical value requires consideration and the Force issues separate guidance on this matter. Where a resolved crime enquiry is considered as being of historical value, consideration should be given to requesting permission from the Crown Office to retain appropriate productions

Command and Control

Crimes and incidents reported to the Force are logged on the Force Command and Control System. Records and information on Command and Control is retained for current year + 6 years.

Police Notebooks

Retain for 6 full calendar years from closure of notebook.

All notebooks lodged as productions are exempt until released by the PF

SIOs may authorise retention of specific notebooks in line with the crime retention policy if there is an ongoing operational requirement

Notebooks Lodged as Productions

If a notebook has been lodged as a production and has not been required immediately to be placed with the court, the notebook should be retained within the production store until the conclusion of the criminal proceedings.

The Production Officer should then return the notebook to the Divisional Notebook keeper, who will then prepare and store in accordance with Force procedures

Storage, Management and Transfer of Notebooks

Guidance on the storage, management and transfer of notebooks is contained within the Notebooks and PDAs SOP.

Crime Management

¹ Provided by Force off-site storage contractor for the purpose. Appropriate storage boxes must be used for undetected cases.

The Force Crime Management System is used to log a report in respect of every crime or offence made known to the police. Reports on crimes are updated during the police investigation and at the end of that process are marked as complete (no further action or resolved) or ongoing (investigation ongoing).

The current configuration of the Crime Management System does not facilitate weeding cases individually according to the ACPOS Policy.

Enabling functionality will be incorporated into future crime management systems.

Crime Management Records marked ongoing will be retained until the status changes and 5.5 applies thereafter.

Crime Management Records marked complete, either as a result of a detection or a decision to take no further action will be destroyed at the end of the current calendar year + 6 years

Warrants

Instructions on the retention of information about the process of obtaining and serving apprehension, means enquiry and bail warrants, interdicts and ASBOS are available in the Warrants section of the Force Record Retention Schedule.

Case Reporting

Police reports are prepared for submission to the Procurator Fiscal or the Children's Panel. Additional information relating to individual cases can also be requested from the Force and all such correspondence may be loosely defined as 'PF Correspondence'.

Officers dictate reports to the Winscribe dictation system and receive a job number. Office Systems Centres (OSC) type the statement for the officer to approve. Following amendments, OSC notify Case Management who in turn forward the information to the PF. Case Management are also responsible for transferring a copy of the information to the Divisional Registry or ICRS.

The Force defines records held in Electronic Divisional or Departmental Registries and ICRS as the master set of records sent to PF/Children's Panel.

The current configuration of Divisional Electronic Registry Systems and ICRS does not facilitate weeding cases individually according to the ACPOS Policy.

Enabling functionality will be incorporated into future crime management systems.

All records on Electronic Divisional or Departmental Registries and ICRS will be destroyed at the end of the current year + 6 years.

Where a case is defined by the ACPOS Policy as a 'serious crime', the SIO should obtain a printed or electronic copy of PF Correspondence from the registry and store it with the case papers, either manually or electronically. This should be noted on the End of Enquiry Checklist.

Retention and management of records held by OSCs is defined in the Administration section of the Force Record Retention Schedule. OSC records are defined as copies and will generally be destroyed two years after creation.

Prisoner Processing

Information about every individual held in police custody is entered on a divisional prisoner processing system. The Prisoner Processing system is not networked throughout the Force and transfer of information between systems is a manual process.

The current configuration of the Prisoner Processing Systems does not facilitate weeding cases individually according to the ACPOS Policy.

All records on Prisoner Processing Systems will be destroyed at the end of the current year + 6 years

Signed Prisoner Property Receipts must be retained for current year + 6 years.

Where a record is defined by the ACPOS Policy as a 'serious crime', the SIO should obtain a printed or electronic copy of the Prisoner Processing entry from the divisional system and store it with the case papers, either manually or electronically. This should be noted on the End of Enquiry Checklist.

The Prisoner Processing system is due to be replaced by the SPIS Custody Management system during 2005/6.

Custody Management will provide SIOs with a marker to denote 'serious' cases in terms of the ACPOS Policy. Cases thus marked will not be destroyed after current year + 6 years and must be reviewed annually thereafter.

HOLMES

The Home Office Large Major Enquiry System (HOLMES) is only used investigations defined by the ACPOS Policy as a 'serious crime'

Records of cases on the HOLMES system will be retained in line with the ACPOS Policy for the Retention of Crime and Productions.

Undetected cases will be retained indefinitely

Detected cases for the current year + 12 years from the date made known to the Police. Where detection occurs more than a year after being made known to the Police, the retention period will be taken from the date the case is reported to the PF.

Destruction of these records will be authorised in combination with other case materials as outlined in the process defined in section 2 above.

Offender Assessment Units

Offender Assessment Units (OAUs) carry out assessments when custodial sentences are complete. In certain cases this may be some years after the proposed destruction of case related documents.

In such cases, OAU may retain any case related documents relating to a case to facilitate an assessment and ongoing monitoring beyond the stipulated retention. This entitlement is included in the ACPOS Policy.

It is the responsibility of the OIC at each OAU to make arrangements for the extended retention of any case related documents required after the 6/12-year destruction dates.

To ensure that OAU are aware of case related documents due for destruction, the Detective Chief Superintendent, HCID (Intelligence) is part of the destruction authorisation process for serious crime enquiries

Any records retained by OAU or on their behalf must be destroyed when the operational requirement for the records is complete

It is the responsibility of the OIC at each OAU to maintain a list of case records retained by the Unit or on their behalf.

The decision to retain case records for more than 12 years must be reviewed annually by the OIC, OAU and the review date and reasoning recorded.

Vulnerable Persons Database

Records of incidents will be retained for the last contact + 6 years.

Where contact has been made on several separate occasions or over a period of time, the first instance may be retained along with the latest instances relating to an individual. Therefore, retention of records relating to an individual is dependant on the date of last contact.

SCCRC

Records must not be destroyed in instances where notification to preserve records has been received from the SCCRC. In all cases written notification will be made from Complaints and Discipline Branch, FHQ to H CID (Operations) or the Divisional Commander depending on the calibre of the case under review by the Commission.

Where notification of discharge has been received by the SCCRC, indicating that the Commission has no further interest in the application, the Force will revert to the proposed destruction date.

SCCRC Records and correspondence held by Complaints and Discipline are retained for current year + 6 years following receipt of a 'No Action' notification from the Commission. These files may contain copies of case-related documents.

Forensic Records

Strathclyde Police Forensic Support Department maintains a Quality Manual (SPFSDQM), which defines the practical processes for implementing and managing the retention and destruction of records.

Destruction of records will be authorised in combination with other case materials as outlined in the process defined in section 2 above.

Photographs, Images, Video

Scenes of crime and related images, video, etc. are regarded as productions for the purposes of the ACPOS Policy. Please refer to the Productions Manual for further guidance

Retain the SIO's copy of investigation photographs with other case papers

Crime scene negatives and digital images may be retained for training and historical purposes

Prisoner images attached to the Criminal History Record are retained indefinitely

ID Parade and VIPER data should be retained as case related documents after the release of productions

Missing Persons

In instances where a missing person report (traced or untraced) develops into a criminal investigation, information related to the missing persons report is to be treated as a case related document and managed accordingly

Records of Surveillance

At the conclusion of every crime enquiry (whether Serious or Standard) involving Directed or Intrusive Surveillance, the Investigating Officer must gather and review all surveillance records made during the operation.

Surveillance records can include surveillance logbooks, visual images recorded or stored on any format, and any product of Intrusive Surveillance.

The Investigating Officer will categorise each record as either a 'Crime Record', an 'Intelligence Record', or a 'Record of No Value'.

Surveillance records categorised as 'Crime Records' will be retained, reviewed and weeded in accordance with the 'Crime' section of this SOP.

Surveillance records categorised as 'Intelligence Records' will be retained, reviewed and weeded in accordance with the 'Intelligence' section in this SOP.

Surveillance records categorised as 'Record of No Value' shall not be retained any longer than is necessary and should be destroyed as required by the Data Protection Act 1998

The appropriate Control Sheet for the record, for example the Surveillance Logbook Control Sheet (force form 3:15:21), will be endorsed by the Investigating Officer to show the categorisation of each record and the Review date.

The appropriate Control Sheet for the record, for example the Surveillance Logbook Control Sheet (force form 3:15:21), will be also be endorsed to show subsequent reviews and details of when and by whom the record is destroyed.

Historical Value

Certain crime enquiries are of intrinsic historical interest either nationally or locally. This may be as a result of a new or innovative technique used during an enquiry, or that the enquiry set a judicial precedent or became a stated case. In addition there are enquiries that are 'famous' or 'infamous'.

Consideration should be given to retaining records of these enquiries as historical archives. Retention for historical non-operational purposes will be the exception rather than the rule.

It is recognised that in retaining only extraordinary cases, an unbalanced picture of enquiries may be presented and from time to time a routine enquiry may also be retained as an example of investigative work and procedures.

The National Archives of Scotland (NAS) retains all records presented during High Court cases and summary details of all Sheriff Court cases. District Court records are the responsibility COPFS. Therefore records are available from another source, albeit not necessarily all of the records that the Force may hold.

Where the officers noted in 2.8 consider that a case has genuine historical value, lists of these records shall be forwarded to Records Management for further discussion.

Records of enquiries with historical value will be held centrally by the Force to ensure that they are properly preserved and accessible.

Livescan

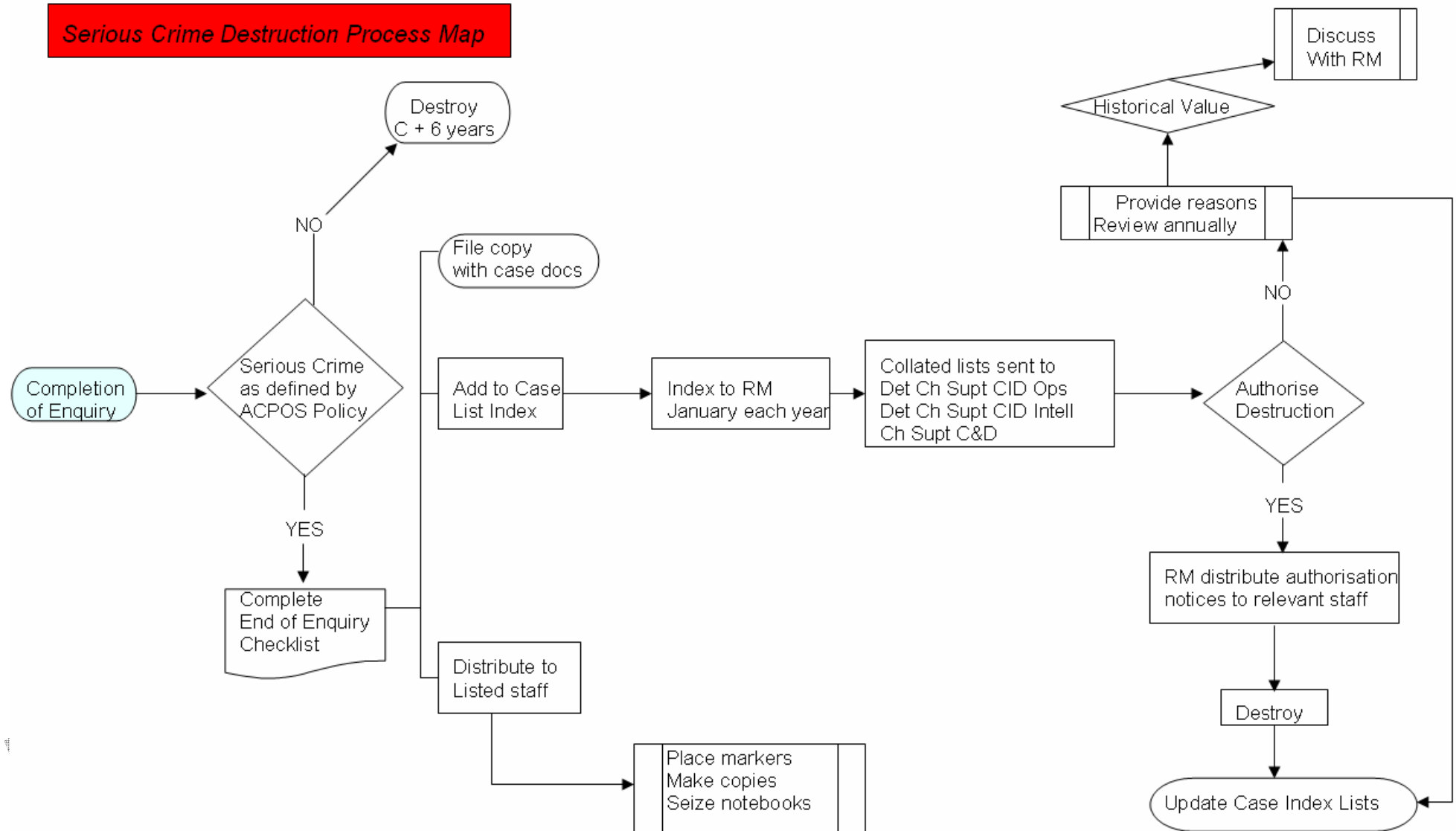
From July 2006, Livescan messages are e-mailed to the Force. Once a message has been opened, read and actioned, it should be retained for the month it was received, plus an additional three months within the folder.

If any messages are identified as being required for more than this period (for example for court purposes if a false name has been provided), these should be flagged and deletion stopped.

Financial Information Management System (FIMS)

Daily Log files for this system will be retained for the current year + 2. This does not apply to daily log files for the productions module which will be retained with the records that they refer to.

Serious Crime Destruction Process Map



Crime Records (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
<p>The administration of correspondence from the Procurator Fiscal</p> <p>Citations Countermands</p> <p>Statement requests from PF Proof of Sending/Receipts from PF</p> <p>Proof of Sending/Receipts from PF (drugs cases)</p>	<p>D + Admin unless required for overtime claim *</p> <p>6 months</p> <p>12 months</p>		May also be retained with case papers where applicable
The administration of Registered Sex Offender (RSO) Registration Process	Review annually	Case Files 5:29:1/ 5:9:28 Registration Document Form/ Service of Notification Form	
The administration of Operation Phoenix and Operation Advance	Review 5 years after addition to database	Operation Phoenix database Operation advance database	
The administration of the Seizure, Tracking and Disposal of Productions	Current year + 6*	<p>Computerised system</p> <p>PF/ Children's Reporter Release Notes</p> <p>Recorded Delivery Receipts</p> <p>Delivery Notes</p> <p>Ad-hoc reports</p> <p>Seizure Receipts</p> <p>Court Requests</p> <p>Destruction Receipts (drugs disposals)</p> <p>Receipt W3782 Transfer to 3rd party/other location</p> <p>Receipt Submission to PF</p> <p>Lodgement Letter</p> <p>Form 3:9:3/1:38:5/3:9:6/4:8:7/3:9:5/3:6:5/5:31:3</p> <p>Fingerprint Examination Form</p> <p>Examination of Mobile Phone Request</p> <p>Schedule of Productions</p> <p>Disclaimer Relinquishing Property</p>	*Where productions records can be linked to specific serious cases, they may be retained as per case records
<p>DNA Samples - Retention for a new specific category of offence, adding a third exception to the normal requirement for the destruction of a DNA sample upon conclusion of criminal proceedings. Exceptions are:</p> <ul style="list-style-type: none"> - Conclusion of criminal proceedings involving a conviction - Conclusion of criminal proceedings involving an absolute discharge - Criminal proceedings concluded (neither conviction or absolute discharge) but were in respect of a relevant sexual or violent offence 	May be retained for up to 3 years		s.18A Criminal Procedure (Scotland) Act 1995

EXECUTIVE MANAGEMENT (STRATHCLYDE VARIANCES AND ADDITIONS)

In this section of the retention schedule, where review dates are provided for correspondence files, they apply to the following members of the Force only:

Chief Constable
 Depute Chief Constable
 Assistant Chief Constables
 Director of Finance & Physical Resources
 Director of Human Resources
 Director of Legal Services
 Divisional Commanders
 Departmental Chief Superintendents

All other correspondence files should follow the procedures elsewhere in this document.

Executive Management (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
Administration of Letters of Complaint	Review Current year + 1		
Correspondence/General Records (minor)	Review Current year + 1		
Correspondence/General Records (major)	Review Current year + 3		
Correspondence (Invitations)	D + Admin		
ACPOS Committees Agenda, Minutes & Papers ACPOS Copy (where Strathclyde is secretary)* Strathclyde Force Copy	Archive Current year + 3		*Records should move with Committee secretariat
Administration and Organisation of James Smart Lectures	Archive copy of lecture Current year + 4		

FINANCE (STRATHCLYDE VARIANCES AND ADDITIONS)

Finance (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
The process of authorising, certifying and paying Purchase Invoices Processing copy invoices Duplicate Payments and Associated Correspondence Records of Arrestments and Payment Schedules Payment Runs Prints - BACS/Cheques BACS Recalls and Cancelled Cheques	Current year + 6	Invoices E-financials system data Correspondence Arrestments Payment schedules Form 1:36:13	Master invoice only - do not make copies
The process of returning Overpaid Funds from Suppliers	Current year + 6	Credit Balance Reports Correspondence	
The process of maintaining and updating the Authorised Signatures for Expenditure List	Current year + 6	Authorised list Superseded lists	
The process of updating and amending Supplier Details	Until Superseded		
E-financials Processing System System data System print-outs (can be re-queried) System print-outs (cannot be re-queried) Fault Monitoring Records	Current year + 6 When Admin use over Current year + 6 Review Annually		
The process of raising and administering Force Invoices	Current year + 6	E-financials system data Form 1:36:14 ACTR40 Invoice Batch Report	
Construction Industry Scheme Certification Records	Current year + 6	VAT Receipts Correspondence	
The process of managing Debtors Accounts Paid Accounts Correspondence Files Unpaid Accounts Correspondence Files	Current year + 3 Final payment year or write-off year + 6	Football Clubs, Prisoners Meals, Citations, Sundry Debtors, Laboratory work	

Finance (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
<p>The process of administering staff Salaries and Wages</p> <p>Payroll Database and Processing System (Cyborg) Payroll change authorisations to update Payroll Database Tax Codes Notification and Correspondence Payroll Run CD-ROMs Master pay bill and copy pay slips Payroll Database and Processing System Back-ups Advances on salaries claims Reimbursement of Expenses Claim Form and Receipts Travel and Subsistence Claim Form and Receipts Voluntary Deductions from Payroll Records Statutory Sick Pay Records Rent Allowance Mandate for Salary Payments Changes in Pay and Allowances BACS Transmission Reports & Associated Correspondence BACS File and Associated Correspondence Overtime payments Building Society/Bank/Lawyers Letters Manual Cheque Request Cash Book for Manual Payroll Cheques</p>	Current year + 6	<p>System data</p> <p>Change forms</p> <p>Inland Revenue Correspondence</p> <p>Form 1:36:14/1:36:16/1:15:4 Form 1:36:2/1:36:3/1:10:1/1:10:2</p> <p>Rent Allowance files* including Form 1:10:8/1:36:4</p> <p>Form 1:10:5/2:11:5 Form 1:17:5 Time and Duty Book</p> <p>Form 2:11:9</p>	<p>*Retention date starts from closure of the file</p>
Medical Certificates	Current year + 3	Medical certificates and associated records	ACPOS Retention Schedule 2008
Manual Payroll Reconciliation Working Papers	Completion of Audit		Kardex records also include, by default sickness records
Payroll Increments Records	Current year + 1	Kardex' records **	
New Staff Payroll Notification (Finance copy)	After data entry	Form 2:11:20 (finance copy)	
Payroll Run Print	Retain 1 random print p/a for current year + 6*		Destroy all other prints after admin use complete

Finance (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
<p>The process of administering Accountancy and Financial records</p> <p>Annual Accounts Financial Ledger</p> <p>Working Papers for Annual Accounts</p> <p>E-financials Journals Print-out VAT Returns Revenue and Capital Grant Claims Records</p> <p>Capital Programme/Budget Working Papers</p> <p>Reconciliation Prints and Records</p> <p>Revenue Reconciliation Working Papers</p>	<p>Archive (signed copy)</p> <p>Until end of audit</p> <p>Current year + 6</p> <p>Current year + 2</p> <p>Current year + 1</p> <p>Completion of Audit</p>		
<p>The process of administering Cash and Bank transactions</p> <p>Cash Book</p> <p>Force Bank Account Records Force Bank Statements Cash Book for Manual Cheques Imprest and Sub-Imprest Safe Deposit Book Bank Giro/Pay-In Slips Courier Delivery Notes/Bag Seal Records</p> <p>Weekly Revenue (Banking) Return</p> <p>Cheque Book Counterfoils Faxes to Bank</p> <p>Cash Reconciliation Working Papers</p>	<p>Archive</p> <p>Current year + 6</p> <p>Current year + 3</p> <p>Current year + 1</p> <p>Completion of Audit</p>	<p>Form 1:36:6</p> <p>Includes authorised signatures and general management correspondence Form 1:36:10/1:36:12 Form 1:42:1</p>	

HEALTH AND SAFETY (STRATHCLYDE VARIANCES AND ADDITIONS)

Health and Safety (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
Records relating to Accidents, Injuries, Diseases and Dangerous Occurrences at work. Accident Book (Withdrawn at 31/12/2003 ref. FHQ 153/03) Diseases	Last Entry + 3 years* Archive (within Force Personnel files)	Form 1:15:10 Accident Book	*1:15:10 books withdrawn-retention advice refers to historical records
Records relating to the use of Work Equipment Incidents Arising	Last action + 10 years or Claim settlement + 6 years	Incident reports + Correspondence	
Records relating to the monitoring of Noise in the workplace Hearing Tests	Current year + 40	Audiometric Test Records Oto acoustic emission records Hearing Test Results	
Records relating to the monitoring of Display Screens and Workstations Workstation Assessments	Until superseded	Workstation Assessments	
Records relating to the monitoring of Food Safety Management	6 months	Monthly Food Safety Checklist (2:24:11A) Supplier Complaint Form (2:24:11B) Food Delivery Form (2:24:11C) Daily Temperature Form (2:24:11D) Damaged Equipment Form (2:24:11E) Food Complaint Form (2:24:11F) Weekly Probe Thermometer Calibration (2:24:11G) Environmental Health Inspection (2:24:11H)	

INTELLIGENCE (STRATHCLYDE VARIANCES AND ADDITIONS)

Intelligence (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
Products of surveillance	Review after 6 years	Surveillance logbooks Visual images Products of Intrusive Surveillance	For evidential records of surveillance see Crime section
The administration of Football Banning Orders			Strathclyde is responsible for the administration of football banning orders at a national level
The administration of Nationality Registration	Closure + 5 years		

INFORMATION TECHNOLOGY (STRATHCLYDE VARIANCES AND ADDITIONS)

Information Technology (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
Force I.T. Projects			
Developing strategy, authorising development and planning the project	Archive	Project Proposal Initiation Document Risk Assessment Project Specifications Project Review and Evaluation Report	
Project Planning & Management (IT Dept)	Life of System + 2 years	Project Plans/ Methodology Completed Work Details	All records transferred to SPSCA at 01/04/2008
Project Planning & Management (Client) Project Working Papers	Life of Project		
Project Finance & Resources Project Review and Evaluation Working Papers	Project + 1 year	Projections, resources used, statistics (not individual overtime claims, expenses, etc.). Surveys , Notes, Reviews	
I.T. Job Requests/ Work Orders	Current + 1 year	IT Section Job Requests	

LEGAL SERVICES (STRATHCLYDE VARIANCES AND ADDITIONS)

Legal Services (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
<p>The process of tendering and awarding Force Contracts</p> <p>Specification and Contract Development Tender Evaluation Criteria & Selection Process Successful Tender Document & Related Correspondence Post-Tender Negotiations Records Contract Award Correspondence Amendments to Contract</p> <p>Pre-Contract Advice Tender Issuing & Return Unsuccessful Tenders & Related Correspondence</p> <p>Contract Management</p> <p>Contract documentation (as above, copies in service/client departments - e.g. Property Services/Supplies)</p>	<p>Review Expiry of contract + 6 years</p> <p>Contract award + 1 year</p> <p>Expiry of contract + 2 years</p> <p>D + Admin (copies only)</p>	<p>Memo of Tender/ Tender Specification*/ Evaluation reports/ Award Letter & related correspondence/ Successful tender/ Minutes of Meetings/ Changes to requirements/ Variation and Clarification Forms/ Extension of Contract/ Complaints/ Payment Disputes/ Financial Reports/ Award report to SJPB/Legal Services</p> <p>Expressions of Interest Opening notice + tender envelope</p> <p>Service level agreements/ Compliance reports/ Performance reports</p> <p>Records as above</p>	<p>*Draft versions can be destroyed on issue of tender</p>
The process of Changing Ownership of Land or Property	Refer to Property Services 01	Conveyancing files	
The process of managing, undertaking or defending for or against Litigation on behalf of the Force	Review Current Year + 10	Litigation files	Best practice
Miscellaneous Legal Services Records	Review Current Year + 10	Legal opinions/ Non contractual agreements/ Employment Tribunal Records	Best practice

OPERATIONS (STRATHCLYDE VARIANCES AND ADDITIONS)

Operations (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
Custody Video Tapes	1 month (unless notified of an incident)		
Welfare of Prisoner's Animals	Current year + 2		
Process of issuing and recording the use of Police Equipment including: Baton CS Spray Police Firearms Stinger Deployment Emergency Response Belt Police Radio	Current year + 1 Unless discharged, then Review Current year + 3	Form 5:11:1/ 5:11:2 Form 5:12:2/ 5:12:3 Form 5:10:1/ 5:10:2/ 5:10:2A/ 5:10:2B/ 5:10:2C/ 5:10:2D/ 5:10:6 Form 4:9:1/6:13:3	Where such information is reflected in STORM C&C test/disposal codes, retention period of that system will apply
The development and maintenance of the Major Incident Manual Major Incident Manual Working Papers	Until superseded Review Current year + 2		
The development and maintenance of Memorandums of Understanding and Protocols	Until superseded	MOUS Protocols	
The administration of the Strathclyde Emergencies Co-ordination Groups (SECG) Strategic and Tactical Groups Local Working Groups	Archive* Review Current year + 2		*Strathclyde perform secretariat function for these groups
The administration of the Scottish Negotiator Course Strathclyde Officers Other Forces' Officers	As per training records in Personnel section	Application Forms Course Assessments	
Counter-Terrorism Records	As per Intelligence section		
The management of Alarms Administration Premises & Contact Details Application forms and correspondence	Until superseded Current year + 1*		*From change in property owner/proprietor
The administration of Mutual Aid	Current year + 1		
The administration of Bail Recording Bail Book Daily List Notification of CHS Inaccuracies (Bail)	Current year + 1	Bail Book Daily List 1:26:1 1:26:2	

Operations (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
Provision of assistance/undertaking of work on behalf of the UK Borders Agency	Current year + 6	VEN Forms (Visit Enforcement Notification)	

PERSONNEL AND RECRUITMENT (STRATHCLYDE VARIANCES AND ADDITIONS)

Personnel files (police and special constables) are archive records. The core documents and information noted below are never destroyed and form the historical record of force officers along with records such as the leavers' register. The format and style of these documents and records are subject to alteration over time. Some weeding is required throughout the life of the file (paper and electronic copies). To simplify the system and negate the requirement to weed every file annually, the weeding codes shall be reduced to:

Archive - Document never removed from file or information deleted from dataset (duplicate copies may be destroyed when divisional/departmental and FHQ personnel files are amalgamated on retirement/resignation). Personnel files containing archive documents are deposited with Glasgow City Archives approximately 15 years after termination of service.

Duration of Service + 6 years - No document that is not an archive record will be kept longer than 6 years from termination of service, determined by the formula: *End of year during which termination of service occurred + 6 calendar years*. Duplicate copies of documents with this retention may be destroyed when the files are amalgamated. This must include copies on all formats.

Current year + x years - All copies of document to be destroyed from personnel files and deleted from computers determined by the formula: *Current year + 6 calendar years*. All copies of these documents must be destroyed at the stipulated time; this includes copies held locally and by FHQ, irrespective of format or store. The master document must be retained for this length of time; duplicates may be destroyed earlier.

Note: If an officer leaves the force with legal action notified or pending, all weeding (with the exception of exact duplicate documents - annotated copy documents must not be destroyed) is to be suspended until the outcome of the action is known.

After the final weeding carried out at termination of service + 6 years, each personnel file should contain the following as an archive source for permanent retention:

- Application Form
- CC/Other Agencies Commendations & Testimonials
- Certificate of Service
- Disciplinary Dismissal Letters
- Extract of Birth Certificate
- Pension Records
- Photograph(s)
- Qualifications
- Record of Training Undertaken
- Report of Incident/Injury/Disease
- Resignation/Retiral Transfer to other Force Notification
- Termination of Service Report
- Transfer Sheet

Personnel Files - Special Constables

As per the arrangements for police personnel files

Personnel Files - Police Cadets

The employment status of police cadets falls between police and police staff. For ease of use, the notes column specifies whether the information falls under the status of police, police staff or cadet.

Personnel Files - Police Staff

Core information from personnel files/database (police staff) is retained permanently within the Force. Unlike the police equivalent, it is not passed to the Archives for management. This is a change from past procedure where all information regarding the employment of police staff was ultimately destroyed with the exception of that contained in the leavers' register.

The format and style of these documents and records are subject to alteration through time and may take the form of a database entry. Some weeding is required throughout the life of the file (paper and electronic copies). To simplify the system and negate the requirement to weed every file annually, the weeding codes shall be reduced to:

Archive - Document never removed from file (duplicate copies may be destroyed when divisional/departamental and FHQ personnel files are amalgamated on retirement/resignation). Police Staff personnel files containing archive documents are maintained within the Force.

Duration of Employment + 6 years - No document that is not an archive record will be kept longer than 6 years from termination of employment, determined by the formula: *End of year during which termination of employment occurred + 6 calendar years*
Duplicate copies of documents with this retention may be destroyed when the files are amalgamated. This must include copies on all formats.

There are special arrangements for staff who have been employed by the force on more than one occasion under separate contracts.

Where a member of staff has left the force and reapplied for another post at a later date before the proposed destruction of the documents pertaining to their previous employment, the documents within the original file shall be merged with the documents in the new file. Thereafter the destruction date termination of employment shall relate to the new end date, rather than the date on which they previously left the force.

Current year + x years - All copies of document to be destroyed from personnel files and deleted from computers determined by the formula: *Current year + 6 calendar years*. All copies of these documents must be destroyed at the stipulated time; this includes copies held locally and by FHQ, irrespective of format or store. The master document must be retained for this length of time; duplicates may be destroyed earlier.

Note: If an officer leaves the force with legal action notified or pending, all weeding (with the exception of exact duplicate documents - annotated copy documents must not be destroyed) is to be suspended until the outcome of the action is known.

After the final weeding carried out at termination of service + 6 years, each personnel file should contain the following as an archive source for permanent retention:

- Application Form
- Offer of Employment Acceptance
- CC/Other Agencies Commendations & Testimonials
- Certificate of Employment
- Disciplinary Dismissal Records
- Exit Reference Report
- Pension Records
- Photograph(s)
- PWA Print Out
- Qualifications
- Report of Incident/Injury/Disease
- Resignation Report
- Termination of Employment Report

SCOPE System

The Strathclyde Police Human Resources database, known as 'SCOPE', was implemented in Force during 2003/2004. SCOPE (and its successors) has and will continue to take over processes and recording of relevant information formerly carried out using either manual forms for inclusion in Personnel files, or a combination of forms and legacy databases.

Where SCOPE takes over a function or process, the retention dates remain the same for the electronic information; this includes processes or parts of processes outwith the Personnel function, such as Finance and Complaints & Discipline.

What to Put in a Personnel File

This section gives advice on how to manage records in Personnel files, however it is useful to highlight the types of information that should not be placed in Personnel files.

- No document should be placed in a Personnel file that is not acceptable for the employee to see
- No document should be placed in a Personnel file that contains inappropriate remarks or ill-chosen language that may be considered derogatory or that cannot be supported by evidence
- Information on crimes and incidents and case notes
- Third party information not related to the subject of the Personnel file
- Grievances made by the employee
- Unattributed comments and annotations to documents

Personnel and Recruitment: <u>Police & Special Constables</u> Weeding List			
Function Description	Retention Action	Examples of Records	Notes
Absence Correspondence	Service + 6 years		
Absence Letter 300 days	Service + 6 years		
Absence Letter 90 days	Service + 6 years		
Absence Reports (Individual Reports)	Service + 6 years		
Absence Reports (Long Term)	Service + 6 years		
Accelerated Promotion Scheme Application	Service + 6 years		
Accelerated Promotion Scheme Records	Service + 6 years		
Background Validation	Service + 6 years		
Benefit Agency Enquiry Form	Service + 6 years		
Career Breaks Correspondence	Service + 6 years		
Certificate of Service	Archive		
Chief Constable's Testimonial	Archive		
Competence Related Threshold Payment Application Form	Service + 6 years		

NOT PROTECTIVELY MARKED

Personnel and Recruitment: <u>Police & Special Constables</u> Weeding List			
Function Description	Retention Action	Examples of Records	Notes
Conditional Offer of Employment	Service + 6 years		
Conditional Offer of Employment - Acceptance	Service + 6 years		
Confirmation of Rank Police (Promotion) (Scotland) Amendment Regulations 1988 <i>[Stipulation of probationary period in rank]</i>	Service + 6 years		
Course Assessments	Service + 6 years		
Course Certificates	Service + 6 years		
Criminal Injuries Compensation Claim Enquiries	Service + 6 years		
Disciplinary Record Police (Scotland) (Discipline) Regulations 1967 Police (Conduct) (Scotland) Regulations 1996	3 years free from punishment other than caution 3 years free from any disposal other than a caution	Record of punishment - SCOPE Record of punishment - HR file	Police (Scotland) Regulations 2004 (No.257) Section 15.3
Dismissal Letter	Archive		
Driving Record Information	Service + 6 years		
DSS Employment Services Decision Making & Appeals Form	Service + 6 years		
DVLA DQ3 Reply to Enquiry re. Driving Licence	Service + 6 years		
Employment Agency Enquiry Form	Service + 6 years		
Extract of Birth Certificate/Copy Passport	Archive		
File Notes	Service + 6 years		
Firearms Annual Authorisation	Service + 6 years		
Half Pay Entitlements	Service + 6 years		
Maternity Certificate MAT B1	Service + 6 years		
Maternity Leave Correspondence	Service + 6 years		
Medical Appeals Entitlements	Service + 6 years		
Medical Reports	Service + 6 years		
National Insurance Act 1965 Form of Undertaking Records	Service + 6 years		Discontinued
No Pay Letters	Service + 6 years		
Part Time Work Plans	Service + 6 years		
Particular Case Records	Service + 6 years		
Pension Fund Requests for General Pension Details	Archive		Pension fund retain master records
Pension Records	Archive		
Pensions Agency Information Request for Pension Appeal	Service + 6 years		
Permission to Move House	Service		
Personnel Interview Results Divisional/Departmental	Service + 6 years		

NOT PROTECTIVELY MARKED

Personnel and Recruitment: <u>Police & Special Constables</u> Weeding List			
Function Description	Retention Action	Examples of Records	Notes
Personnel and Force Panel - Interview Results	Service + 6 years		Superseded 2009-10 by new process
Personnel Interview Pack Questions/ Marking/ Assessments/ Personal Profile	Do not retain In Personnel File - Refer to Personnel 10		
Photograph	Archive		
Police (Scotland) Regulations 1972 Reg. 19 - Serving within Strathclyde Police Force Area Records <i>[Agreement to work anywhere in Strathclyde]</i>	Service + 6 years		Discontinued
Post Basic Assessment of Student - FTC	Service + 6 years		
Pre-Recruitment Fitness Assessment	Service + 6 years		
Qualifications	Archive		
Recruitment Final Interview Form	Service + 6 years		
References Received	Service		
Royal Humane Society Certificate	Archive		
Student Basic Training Assessment - SPC	Service + 6 years		
Suspension Details	Conclusion of misconduct hearing or earlier lifting of suspension If officer resigns or is dismissed before duration of suspension complete, service + 6 years		Suspension details are contained separately within Complaints & Discipline files and also within SCOPE (subject to access controls). Refer to Complaints & Discipline section of this SOP.
Termination of Service Report	Archive		
Transfer Sheet	Archive		
Verification of Employment Correspondence - Banks and Building Societies	C + 6 years		Now handled by Finance Department
Notification of Absence	Current year + 6	1:15:02	
Report of Incident/Injury/Disease	Archive	1:15:06	Records also in accident books retained for 75 years
Absence Letter 150 days	Service + 6 years	1:15:07	
Sunday - Saturday - Qualifying Days	Service + 6 years	1:15:12	
Resignation Form	Archive	1:28:01	
Application for Annual/Compassionate/ Maternity Support/ Other Leave	C + 1 year	1:31:01	
Record of Rent/Housing Allowance Refunded	Service + 6 years	1:36:04	
Housing Application	Service + 6 years	1:57:01	

NOT PROTECTIVELY MARKED

Personnel and Recruitment: <u>Police & Special Constables</u> Weeding List			
Function Description	Retention Action	Examples of Records	Notes
Police Housing Application	Service + 6 years	1:57:04	
Probationer Role Requirement	Service + 6 years	2:05:01	
Probationer Progress Notes	Service + 6 years	2:05:02	
Probationer Progress Report	Service + 6 years	2:05:03	
Probationer Performance Review	Service + 6 years	2:05:04	
Probationer Training Schedule	Service + 6 years	2:05:05	
Progress Sheet for Formal/Informal Training	Service + 6 years	2:05:06	
Progress Report (Probationer)	Service + 6 years	2:06:02	
Appraisal Form Constables	Service + 6 years	2:06:03	
Officer Safety Certificate	Service + 6 years	2:06:04	
Training Progress Sheet	Service + 6 years	2:06:06	
Appraisal Form Superintending Ranks	Service + 6 years	2:06:07	
Personnel Profile	Retain most recent	2:06:10	Submitted for officers supported for promotion
Personnel Record Audit Proforma	Archive	2:06:11	
CID Aides Assessment Form	Service + 6 years	2:06:12	
Role Requirement	Service + 6 years	2:06:13	
Performance Review Notes	Service + 6 years	2:06:14	
Performance Review	Service + 6 years	2:06:15	
Personal Development Plan	3 years	2:06:16	
Secondment Performance Review	Service + 6 years	2:06:17	
Acting Rank Performance Review	Service + 6 years	2:06:18	
Personnel Record Print	Archive final print (Obsolete under new system)	2:07:01	Destroy all other prints when superseded at annual performance review
Police Personnel Change of Details	Service + 6 years	2:07:02	
Notification Change in Circumstances	Service + 6 years	2:07:03	
Notification Form - Unpaid Sick or Maternity Leave	Service + 6 years	2:07:04	
Fingerprint Record Card	Sent to SCRO	2:07:07	Not Retained by Force
Chief Constable's Transfers/Applications	Service + 6 years	2:09:01	
Other Agencies Application Form	Service + 6 years	2:09:01	

Personnel and Recruitment: <u>Police & Special Constables</u> Weeding List			
Function Description	Retention Action	Examples of Records	Notes
Diploma in Police Service Leadership and Management Application Form	6 months	2:9:6	
Portfolio in Support of Applicant for entry to PSLM	6 months	2:9:6A	
Commendations Chief Constable/Other Agencies	Archive	2:12:02/ 2:12:03	Commendations series also held by Administration
Application Form	Archive	2:16:03	
Interview Aid Form	Service	2:16:07	
Further/High Education Application Form	Service + 6 years	2:22:01	
Letter of Undertaking HNC or below	Service + 6 years	2:22:02	
Letter of Undertaking HNC or above	Service + 6 years	2:22:03	
Divisional/Departmental Health & Safety Training Record	Service + 6 years	2:24:02	
Course Attendance Record	Service + 6 years	2:24:09	Discontinued Form (SCOPE)
Police Authorisation AFO	Service + 6 years	5:10:03	
Firearms Training Application	Service + 6 years	5:10:04	

Personnel and Recruitment: <u>Police Staff</u> Weeding List			
Function Description	Retention Action	Examples of Records	Notes
Benefit Agency Enquiry Form	Employment + 6 years		
Career Breaks Correspondence	Employment + 6 years		
Certificate of Employment	Archive		
Chief Constable's Testimonial	Archive		
Consent Form for Employer to Disclose Information to Specific Parties	Employment + 6 years		
Criminal Injuries Compensation Claim Enquiries	Employment + 6 years		
Disciplinary Dismissal Extract of Proceedings/Letter of Dismissal	Archive		Records of warning may be retained if a further warning is imposed whilst earlier warning unspent
Disciplinary Records Final Written Warning	24 months		
Disciplinary Records Oral Warning	6 months		
Disciplinary Records Punitive Action	Employment + 1 year		
Disciplinary Records Written Warning	12 months		
Disciplinary Unsubstantiated (case concluded)	Destroy at conclusion		

NOT PROTECTIVELY MARKED

Personnel and Recruitment: <u>Police Staff Weeding List</u>			
Function Description	Retention Action	Examples of Records	Notes
Disciplinary Records Resigns/Leaves during process (case not concluded)	Employment + 2, Archive letter appointing investigating officer or calling employee to disciplinary hearing		
Driving Authorisation Records	Employment + 6 years		
DSS Employment Services Decision Making & Appeals Form	Employment + 6 years		
Employment Agency Enquiry Form	Employment + 6 years		
Employment Tribunal Report of Findings	Employment + 6 years		
Examination Results	Employment + 6 years		
Exit Control Sheet	Employment + 6 years		
Exit Reference Report	Archive		
Eye Test Referral Letter/Report Form SAF/MPS/EYE/1	Employment		
File Notes	Employment + 6 years		
First Aid Certificate	Employment + 6 years		
First Aid Renewals	Employment + 6 years		
Group Life Assurance Scheme Application of Death Benefit	Employment + 6 years		
Internal Application Form for Promotion or Transfer (successful only)	Employment + 6 years		
Internal/External Training Records	Employment + 6 years		
Job Description	Employment + 6 years		
Law Reform (Miscellaneous Provisions) (Scotland) Act 1980 Letter	Employment + 6 years		Discontinued, content incorporated into Contracts
Letter of Confirmation of Resignation, Retiral or Dismissal	Employment + 6 years		
Letter of Resignation or Retiral	Employment + 6 years		
Maternity Certificate MAT B1	Employment + 6 years		
Maternity Leave Correspondence	Employment + 6 years		
Maternity Leave Pay Scheme Forms - PER/ML/1/91 & PER/ML/2/97	Employment + 6 years		
Offer of Employment Letter	Employment + 6 years		
Offer of Employment Pro-Forma Acceptance	Employment + 6 years		
Pension Fund Form S1 Particulars of New Entrant	Archive		Pension fund retain master records
Pension Fund Form S3 Notification of Admission as Pensionable Employee	Archive		
Pension Records	Archive		
Phased Return to Work Timetable and Conditions	Employment + 6 years		
Photograph	Archive		

NOT PROTECTIVELY MARKED

Personnel and Recruitment: <u>Police Staff Weeding List</u>			
Function Description	Retention Action	Examples of Records	Notes
Politically Restricted Postholders (Letter 1 or 2) Records	Employment + 6 years		
Precautionary Suspension Records	Expunge record where no disciplinary action taken		
Promotion, Transfer and Secondment Records	Employment + 6 years		
PWA Print Out	Archive final print		Destroy all other prints when superseded at annual review
Qualifications school & further education	Archive		
Reckonable Service/Allowances Notification to Finance	Employment + 6 years		
References Given	Employment + 6 years		
References Received	Employment		
Request for Medical Examination of Employee PMS/ME/1	Employment + 6 years		
Resettlement Allowances Scheme Records of Claims & Associated Records	Employment + 6 years		
Sickness Records	Employment + 6 years		
Unpaid/Special Leave Records	Employment + 6 years		
Verification of Employment Correspondence - Banks and Building Societies	C + 6 years		Some now handled by Finance Department
Termination of Employment Report	Archive		
Notification of Absence	Current year + 6	1:15:02	
Report of Incident/Injury/Disease	Archive	1:15:06	
Resignation Form	Archive	1:28:01	
Application for Annual/Compassionate/ Maternity Support/ Other Leave	C + 1 year	1:31:01	
Reimbursement of excess travelling expenses for Further/Higher Education (TF2)	Employment + 6 years	1:36:14	
Reimbursement of textbooks, etc. for Further/Higher Education (TF2)	Employment + 6 years	1:36:15	
Claim for Excess Travelling Expenses Increase in Fares/Mileage Rates	Employment + 6 years	1:36:16	
Excess Travelling Expenses. Increase in fares/mileage rates PER/ETE/2/91	Employment + 6 years	1:36:17	
Disciplinary Procedures Incident/Report Record Sheet PER/DCP/1&2	Duration of warning or punitive action	2:03:02	
Disciplinary Procedures Notification of Appeal against Disciplinary Action	Conclusion of Appeal + 6 months (oral & written warnings) + 1 year (final written warnings) Employment (punitive action)	2:03:04	
Progress Sheet for Formal/Informal Training	Employment + 6 years	2:05:06	
Personnel Record Audit Proforma	Archive	2:06:11	

Personnel and Recruitment: <u>Police Staff</u> Weeding List			
Function Description	Retention Action	Examples of Records	Notes
PDR Role Requirement	When Superseded	2:06:19	
PDR Pre-Review Document	When Superseded	2:06:20	
PDR Review Notes	When Superseded	2:06:21	
PDR Development Plan	3 years	2:06:22	
Official Secrets Act Declaration	Employment + 6 years	2:11:01	
Official Secrets Act Exit Declaration	Employment + 6 years	2:11:02	Discontinued
Employee Attendance Record	Current Year + 1	2:11:04	Discontinued (SCOPE)
Application Form	Archive	2:11:12	
Criminal Conviction Declaration Form	Employment + 6 years	2:11:14	
Application for Medical Report Consent Form	Employment + 6 years	2:11:15	
Appointment/Transfer/Termination Notification	Employment + 6 years	2:11:20	
Responsibility Allowance Payment Request	Employment + 6 years	2:11:21	
Commendations Chief Constable/Other Agencies	Archive	2:12:02	Commendations series also held by Administration
Commendations Chief Constable/Other Agencies	Archive	2:12:03	
Further/High Education Application Form	Employment + 6 years	2:22:01	
Letter of Undertaking HNC or below - PER/LU/1/91	Employment + 6 years	2:22:02	
Letter of Undertaking HNC or above - PER/LU/2/91	Employment + 6 years	2:22:03	
Change in Personal Circumstances	Employment	2:23:07	
Notification of Termination	Archive	2:23:14	
Personnel and Recruitment: <u>Police Cadets</u> Weeding List			
Function Description	Retention Action	Examples of Records	Notes
Absence Correspondence	Service + 6 years		Police
Absence Letter 300 days	Service + 6 years		
Absence Letter 90 days	Service + 6 years		
Absence Reports (Individual Reports)	Service + 6 years		
Absence Reports (Long Term)	Service + 6 years		
Background Validation	Service + 6 years		
Benefit Agency Enquiry Form	Service + 6 years		
Complaints & Discipline Memo from Personnel Department	3 years		

Personnel and Recruitment: <u>Police Cadets</u> Weeding List			
Function Description	Retention Action	Examples of Records	Notes
Complaints & Discipline Memo to Personnel Department re. Formal Misconduct Proceedings	3 years (if free from punishment other than a caution)		Unless a shorter time period is stipulated on the record
Conditional Offer of Employment	Service + 6 years		Police
Conditional Offer of Employment - Acceptance	Archive		
Course Assessments	Service + 6 years		
Course Certificates	Service + 6 years		
Disciplinary Dismissal Extract of Proceedings/Letter of Dismissal	Archive		Police Staff
Driving Record Information	Service + 6 years		Police
DSS Employment Services Decision Making & Appeals Form	Service + 6 years		
Employment Agency Enquiry Form	Service + 6 years		
Extract of Birth Certificate/Copy Passport	Archive		Police/Police Staff
Eye Test Referral Letter/Report Form SAF/MPS/EYE/1	Employment		Police Staff
File Notes	Service + 6 years		Police/Police Staff
Group Life Assurance Scheme Application of Death Benefit	Employment + 6 years		Police Staff
Internal/External Training Records	Employment + 6 years		
Maternity Leave Pay Scheme Forms PER/ML/1/91 & PER/ML/2/97	Service + 6 years		Police
Maternity Leave Correspondence	Service + 6 years		
Part Time Work Plans	Service + 6 years		
Pension Fund Form S1 Particulars of New Entrant	Archive		Police Staff Pension fund retain master records
Pension Fund Form S3 Notification of Admission as Pensionable Employee	Archive		
Pension Records	Archive		Police Staff
Phased Return to Work Timetable and Conditions	Employment + 6 years		
Photograph	Archive		Police
Precautionary Suspension Records	Expunge record where no disciplinary action taken		Police Staff
References Given	Employment + 6 years		
References Received	Employment		
Request for Medical Examination of Employee PMS/ME/1	Employment + 6 years		
Pre-Recruitment Fitness Assessment	Service + 6 years		Police

NOT PROTECTIVELY MARKED

Personnel and Recruitment: <u>Police Cadets</u> Weeding List			
Function Description	Retention Action	Examples of Records	Notes
Qualifications	Archive		Cadet
Recruitment Final Interview Form	Service + 6 years		
Termination of Cadetship Report	Archive		
Transfer Sheet	Archive		SCOPE may provide an alternative
Notification of Absence	Current year + 6	1:15:02	Police
Report of Incident/Injury/Disease	Archive	1:15:06	Police Records also in accident books retained for 75 years
Absence Letter 150 days	Service + 6 years	1:15:07	Police
Resignation Form	Archive	1:28:01	
Application for Annual/Compassionate/ Maternity Support/ Other Leave	C + 1 year	1:31:01	
Disciplinary Procedures Incident/Report/Record Sheet PER/DCP/1&2	Duration of Warning/Punitive Action	2:03:02	Police Staff
Disciplinary Procedures Notification of Appeal against Disciplinary Action	Conclusion of Appeal + 6 months (oral & written warnings) + 1 year (final written warnings) Employment (punitive action)	2:03:04	Police Staff
Progress Sheet for Formal/Informal Training	Employment + 6 years	2:05:06	Police/Police Staff
Cadet Role Requirement	Service + 6 years	2:05:10	Cadet
Cadet Progress Notes	Service + 6 years	2:05:11	Cadet
Cadet Progress Report	Service + 6 years	2:05:12	
Cadet Monthly Progress Report	Service	2:05:13	
Cadet Attachment Form	Service	2:05:14	
Personnel Record Audit Pro-forma	Archive	2:06:11	
Notification Form - Unpaid Sick or Maternity Leave	Service + 6 years	2:07:04	Police Staff
Fingerprint Record Card	Sent to SCRO	2:07:07	Not retained by SP
Official Secrets Act Declaration	Employment + 6 years	2:11:01	Police Staff
Criminal Conviction Declaration Form	Service + 6 years	2:11:14	
Medical Report Consent Form PER/ME/1-2	Service + 6 years	2:11:15	
Appointment/Transfer/Termination Notification	Employment + 6 years	2:11:20	
Commendations Chief Constable/Other Agencies	Archive	2:12:02	Police Commendations series also held by Admin
Commendations Chief Constable/Other Agencies	Archive	2:12:03	
Application Form	Archive	2:16:03	Police

Personnel and Recruitment: <u>Police Cadets</u> Weeding List			
Function Description	Retention Action	Examples of Records	Notes
Change in Personal Circumstances Form	Service + 6 years	2:23:07	Discontinued (SCOPE)
Divisional/Departmental Health & Safety Training Record	Service + 6 years	2:24:02	
Course Attendance Record	Service + 6 years	2:24:09	

Personnel and Recruitment (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
Absence Management - Quarterly Returns/Analysis of Absence	Current year + 1	Form 1:15:15/2:11:10	
Authorisation to Drive Police Vehicles			
Reporting and Investigation of Fatal Road Traffic Collisions involving Police Vehicles and Drivers	Current year + 12*	Personal Driving Record Files Form 4:7:4	*As per Crime list Details may be retained permanently within Personnel Files
Reporting and Investigation of Road Traffic Collisions involving Police Vehicles and Drivers	Current year + 6*		
Reporting and investigation of Incidents involving Driving under the influence of Alcohol or Drugs	Review Current year + 12 or Destroy after reaccreditation, retirement or resignation		
Authority to drive police vehicles - other reason Authority to drive police vehicles - illness	Reaccreditation + 3 years		
Interviewing and Selecting Police Officers for specialist and advertised posts	6 months	Assessment Forms	
Conducting and Administering Grievances and Grievance Appeals	Conclusion + 6 years	2:3:5, Stage 2/3 Notification Form GP/1	
Police Officer Promotion Process	Completion of process + 6 months*	Application form, Assessment forms/notes, Interview notes, Evaluation forms 2:9:5A - M	*Appeals should be retained until appeal process complete
Recruitment - standard entrance test exam papers (all candidates)	1 month		
Recruitment and Selection of Police Staff - External Candidates Interview Records	6 months (do not pass to personnel)		

Personnel and Recruitment (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
The process of managing the Medical Welfare and Health of staff	Date of Appointment + 75 years*	Medical Records Occupational Health Files Microfilmed OHU Files	* Files may be weeded at retiral according to guidance given for Personnel

PROPERTY (STRATHCLYDE VARIANCES AND ADDITIONS)

While the Force is not required to maintain records of employee tenancies of Police Houses, it will endeavour retain details of length of tenancies to facilitate requests for assistance under the to Right to Buy Legislation.

Property (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
Force Properties and Land Conveyancing Legal Services Conveyancing Records (master)/ Purchases & sales Property Services Conveyancing Records (copy) Register of Force Property	Review at property disposal + 10 years* D + Admin Archive	Drawings, deeds of purchase and sale, correspondence, proposals, reports, property surveys, copy report to SJPB	
The Lease of Properties and Land Legal Services Lease Records (master) Property Services Lease Records (copy) Register of Force Property	Term of Lease + 5 years D + Admin Archive		Where lease renewed, records of previous lease(s) can be retained along with new lease records.
The Lease of Force Housing to employees Lease Records	Term of Lease + 5 years		Details of tenancies should be retained to assist with applications under 'Right to Buy' legislation

Property (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
<p>Developing and administering the construction of New Buildings, Extensions and Refurbishment to Force Properties</p> <p>Design, Specification, BoQ, Architects Instructions, Final Account, Drawings (refurbishment and small projects)</p> <p>Design, Specification, BoQ, Architects Instructions, Final Account, Drawings (new builds and large projects)</p> <p>Contract Award Process</p> <p>Correspondence, Reports and General Records</p> <p>Claims Files (master set only)</p>	<p>Review at Completion of Build + 5 years</p> <p>Review at Completion of Build + 10 years</p> <p>As per Supplies/Legal Services</p> <p>Completion of Build + 10 years*</p>		<p>*Weed ephemera at Completion of Build</p>
<p>The function of Maintaining Force Property</p> <p>Contract Award Process</p> <p>Work Orders</p> <p>Inspection and Maintenance Reports</p> <p>Property Management Records</p>	<p>As per Supplies</p> <p>Current year + 1*</p> <p>Until superseded</p> <p>Review and Weed Current year + 2</p>	<p>Drawings, correspondence, reports, surveys</p> <p>Form 1:57:7</p>	<p>*Financial year</p>

RISK MANAGEMENT (STRATHCLYDE VARIANCES AND ADDITIONS)

Risk Management (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
Administration of Civil Claims against the Force	Current year + 6	Claim Files	
Force Insurance Policies	Expiry + 80 years	Insurance Policy/ Correspondence	
Administration of Risk Management Issues	Review Current year + 3	Correspondence files	

SUPPLIES (STRATHCLYDE VARIANCES AND ADDITIONS)

Supplies (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
<p>The process of Requisitioning, Ordering and Managing Force Stock, Clothing and Equipment</p> <p>Orders to external suppliers Stock management Requisitions from force staff</p>	Current year + 6	<p>Order database E-financials Stock database E-financials Form 1:6:1/1:6:2 Blue Form 1:4:8 White Order forms Delivery Notes Goods Received Sheet Stock Adjustment Sheets Stock Inventories & Stock sheets Stores Requisitions Stores Transfer & Sales</p>	
Requisition Forms (Dept/Division copy only)	Current year + 1	<p>Form 1:6:1/1:6:2 pinks and returned white Form 1:4:8 pink</p>	
<p>The process of tendering and awarding Force Contracts</p> <p>Specification and Contract Development Tender Evaluation Criteria & Selection Process Successful Tender Document & Related Correspondence Post-Tender Negotiations Records Contract Award Correspondence Amendments to Contract Pre-Contract Advice Tender Issuing & Return Unsuccessful Tenders & Related Correspondence Contract Management</p>	Refer to Legal Services 01	<p>Memo of Tender Tender Specification* Evaluation reports Award Letter & related correspondence Successful tender Minutes of Meetings Changes to requirements Variation and Clarification Forms Extension of Contract Complaints Payment Disputes Financial Reports Award report to SJPB/Legal Services Expressions of Interest Opening notice + tender envelope Service level agreements Compliance reports Performance reports</p>	<p>*Draft versions can be destroyed on issue of tender</p>

SUPPORT SERVICES - ROAD POLICING (STRATHCLYDE VARIANCES AND ADDITIONS)

Support Services - Road Policing (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
Administration of the Vehicle Defect Recovery Scheme (VDRS) VDRS Database Forms returned within 28 days - no further action Forms not returned - crime report raised Forms returned within 28 days - further action taken	Current year + 3 Update to VDRS database + 1 month Treat as per Crime section	VDRS Database VDRS Form Form 4:06:05	
The administration of the Contractual Vehicle Recovery Scheme (CVRS) Vehicle Disposal, Release/ VAT Returns/ Owner Identification	Current year + 6	CVRS Forms 1-12 Related Correspondence VAT Returns	
The administration of Vehicle Prohibition Notices Application of Prohibition Notice and notification to Vehicle Operator Services Authority (VOSA) Removal of Prohibition Notice and notification to VOSA	Current year + 1* Current year + 1	Form PG09 Prohibition Database Form PG10 Prohibition Database	*Retain until a PG10 has been issued
The administration of Escorts for Wide and Abnormal Loads	Current year + 1		
The production of Driving Documents HORT1 and HORT2 (not related to accident or police report) HORT1 (accident cases) HORT1 and HORT2 (police report submitted)	6 months HORT1 and White HORT2 sent to Information Resources and retained with 4:4:2 & 4:4:6. As per Crime section - retain with related case records*	HORT1 HORT2 Form 4:06:02	Road Traffic Act 1988 *May be 6 or 12 years depending on type of case
The reporting and disposal of Abandoned Vehicles	Current year + 6	Form 4:12:1	

TRAINING (STRATHCLYDE VARIANCES AND ADDITIONS)

Courses Provided by FTRC

FTRC has responsibility for maintaining basic details of courses offered, their aims and objectives. This includes changes and development of content. The force does not permanently retain details of course content such as transcripts of lectures and presentations

For each course the following are to be retained permanently:

Aims and Objectives

Course outline

Details of any handouts, reading lists or associated course materials

Selected photos taken at courses can be retained for PR purposes

Development of Training Inputs

FTRC also maintains on behalf of the force the corporate aims, strategy and development of training, included superseded records. Some of this information may also be found in Joint Board, Policy Group and Personnel Strategy papers. Details, working papers and ephemera will be weeded from these records.

FTRC maintains course and training evaluation data for operational purposes. While core information may be used in development plans and strategy documents these records are destroyed regularly (see below for details). Business plans and training needs analysis are treated similarly. FTRC may occasionally select some of these records for permanent retention based on the force review guidelines. Where this is the case, alterations to specific retention periods will be registered.

Record of Training - Individuals

Completion certificates and records of attendance are inserted in personnel files each time training is completed. In addition this information is retained on the HR database. Records are not retained elsewhere. The training record of each member of staff should be apparent from their file.

Firearms Training - An exception to the records of course attendance being retained solely in personnel files is the record of firearms range practice, which is retained by FTRC.

Training and Force Training Centre (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
Development and provision of Staff Training courses			
Course Planning Booklet Course Evaluation Forms	Until superseded After data entry	Includes electronic data	
Course Evaluation Summary Sheets Regular Courses Course Evaluation Summary Sheets Irregular Courses	Course + 1 year Course + 2 years	Course Aims and Objectives, Course Booklet, Course Pre-Reading List, Handouts, presentations, content	
Course Documentation Course Development materials FTRC Training Prospectus	Archive Until superseded Current year + 10	Research material, presentations, development records	
Development and provision of Staff Training courses			
Course Nomination Forms Administration of courses Weekly completion lists Firearms Training Range Records	After data entry Current year + 1* Current week + 1 After data entry		*Public Order course administration for to be retained for current year + 3
Training Database			
Current Staff Former Staff	Retain on system Retain in Personnel File/HR Database	Registrar system Divisional training systems	Refer to Personnel List
Record of Firearms Training	Review Annually	Registrar/ SCOPE (FoxPro Database obsolete)	
FTRC Internal Requisition Forms	Current year		
Accommodation Register	Current year + 1		
Boarders Book	Current year + 5		
Meal Lists	Current year + 1		
General Filing	Current year + 2		
Probationer New Start List	After entry to system		
Probationer Files	Probation + 6 months	Stage 1 & 2 Reports 02:06:02 Probationers Progress Probationer Control Sheets Probationer Monthly Report Form	All files, including those resigned or dismissed
Facilities Bookings	Current year + 1		

Training and Force Training Centre (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
FTRC Bulletin	Current year + 1	Specific editions marking significant events should be retained as archive (e.g. opening of Jackton)	
Environmental Scanning Records	Review every 6 months		
The development and management of the PFI Contract for Jackton site	Current + 5 years		
Migration Project	Refer to Project list	Retain Minutes of meetings, contractual information, reports, main correspondence, Oxford St disposal	
Photos Building/Activities	Select and Archive		
Weekly Diary	Current month + 1		
Hospitality Booking Form	Current year + 1		
Order for Dinner Form	Current year + 1		
Classroom Requirements Form	Completion of Course		
Restaurant Visitors Form	Current year + 1		
FTRC Business Plans	Archive		
Security Access Card Database (Swipe Cards)	Return of card		

WARRANTS (STRATHCLYDE VARIANCES AND ADDITIONS)

The instructions below refer primarily to reports printed from the warrants system. The management and destruction of data on the warrants system will be carried out at FHQ following the criteria set out in the retention schedule. Inclusion in the retention schedule below does not automatically require reports to be printed as many can be recreated at any given time. It is for this reason that the printing and retention of unnecessary reports is discouraged and also why the length of retention is short. The master record is accepted to be the data on the system with the exception of specific forms from which the system is updated or that act as receipts for monetary transactions.

The introduction of the warrants database in 2001/2 led to a number of force forms becoming obsolete in the manual format. Retention guidance is provided for these forms, as those completed before the introduction of the new system must be retained for the stipulated period. For this reason they are separated from the processes that they were formerly part of.

Warrants (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
<p>The process of administering and serving Means Warrants</p> <p>Means Warrants (not served)</p> <p>Screen Print Details Print Return of Means Enquiry Warrants Report</p> <p>Completed Enquiry Form Exhausted Enquiries Report</p> <p>Receipt for Disposed Money</p> <p>Fine Letters (Returned undelivered)</p>	<p>Retain until served, review current year + 3*</p> <p>D + Admin</p> <p>Execution + 1 year</p> <p>Current year + 6*</p> <p>Retain with Warrant</p>	<p>Form 1:25:8</p> <p>Form 1:25:12</p>	<p>*Means warrants cannot be withdrawn and if unserved after 3 years, they should be notified to FHQ Warrants who will obtain instructions from the issuing court</p> <p>*Current financial year</p>

Warrants (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
<p>The process of administering and serving Apprehension Warrants</p> <p>Apprehension Warrants (not served)</p> <p>Screen Print Details Print Completed Enquiry Form Exhausted Enquiries Report Return of Apprehension Warrants Report Overdue Warrants Report</p> <p>Receipt for Disposed Warrant (signed) Statement of Arrest under Judicial Warrant</p>	<p>Review Annually</p> <p>D + Admin</p> <p>Current year + 6</p>	<p>Form 1:25:8</p> <p>Form 1:25:12 Form 1:25:10</p>	<p>PF/Courts signed copy</p>

Warrants (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
<p>The general administration of Warrants</p> <p>Operational Control Summary Form 24 Hour Return Report Revenue Collected Report* Divisional Users List* Executed Warrants Report (for a Division) Unexecuted Warrants Report (for a Shift) Unexecuted Warrants Report (for a Subdivision) Unexecuted Warrants Report (for an Officer) Unexecuted Warrants Report (by Offence Code or for a Specific Offence) Unexecuted Warrants from Other Forces Report Outstanding Enquiry Forms for Cancelled Warrants (i.e. forms not returned by officers) Priority Warrants Report Overdue Warrants Report Disposed Warrants Report (by disposal type)* Warrants for Deceased Persons Report Live Warrants for a Geographical Area Report Faxes to Other Forces</p> <p><i>Where prints are available with the same information, but with a different sort order, use the same retention as noted above</i></p>	D + Admin. Maximum of current year + 1	Form 1:25:9 Form 1:25:11	*Can be re-queried on system
Transfer of Prisoner's Property	After Checking	Form 5:30:4	*Financial years
Warrants Receipt Book	Current year + 6*	Form 8:1:1	
The process of administering Exclusion Orders			
Exclusion Order	Until advised		
The process of administering Harassment Orders	Until advised		

Warrants (Strathclyde variances and additions)			
Function Description	Retention Action	Examples of Records	Notes
<p>The process of administering Matrimonial Interdicts</p> <p>Live until notification of reconciliation, divorce or death of one spouse. Matrimonial interdicts are unique in that the Sheriff may grant a 'Power of Arrest' that allows police to arrest any person breaching the Interdict without warrant even when the breach of the Interdict is not a criminal offence. Matrimonial Interdicts with Powers of Arrest attached may be granted to co-habitees in special circumstances. In these cases however, the Interdict will last until receipt of notification that the Interdict has been recalled or the death of one of the co-habitees. The Power of Arrest however, falls after 6 months unless an application is made to extend it for a further 6 months</p>	Current year + 3 (from date of cancellation)		Matrimonial Homes (Family Protection) (Scotland) Act 1981 Protection from Abuse (Scotland) Act 2001
<p>The administration of the Warrants Database system</p> <p>Cancelled Entries Live Entries</p>	Current year + 6 Review annually		
<p>The administration of Warrants Records Pre-Dating the Warrants Database</p> <p>Warrants Issue Letter Buff Filing Card White Filing Card 24 Hour Returns</p> <p>Warrants Distribution List Pinks/Blues Form White Form Operational Control Summary</p> <p>Daily Operational Record</p>	<p>Current year + 6</p> <p>After execution</p> <p>Current month + 1</p>	<p>Form 1:25:1 Form 1:25:6 Form 1:25:7</p> <p>Form 1:25:2 Form 1:25:5 Form 1:25:5 Form 1:25:9</p> <p>Form 1:25:11</p>	Old style, manual forms only - refer to warrants introduction page

LIST OF ASSOCIATED LEGISLATION

GENERAL

- [The Public Records \(Scotland\) Act 2011](#)
- [The Data Protection Act 1998](#)
- [The Freedom of Information \(Scotland\) Act 2002](#)

7. FINANCE

- [Prescription and Limitation \(Scotland\) Act 1973](#)
- [Prescription and Limitation \(Scotland\) Act 1984](#)
- [Value Added Tax Act 1994](#) Sections 14, 15, 48, 49(2A), 69(2), 69A and Schedules 11(6) and 11(6A)
- [Finance Act 1985](#)
- [Finance Act 2012](#) Section 60(6)
- [Companies Act 1985](#)
- [Companies Act 2006](#) Sections 248(2), 355, 358, 386, 387, 388, 389, 911(3), 926(3), 1083 and 1090(3)
- [Taxes Management Act 1970](#) Section 12B and schedule 1A(2A)

8. FIREARMS

- [Firearms Act 1968](#) Sections 28A, 32A(7), 33(5) and 40(3A)
- [Firearms Act 1982](#)
- [Firearms \(Amendment\) Act 1988](#) Section 40(3A) and Schedule 1(5)
- [Firearms \(Amendment\) Act 1994](#)
- [Firearms \(Amendment\) Act 1997](#) Section 28A(1) and 39(2)
- [Firearms \(Amendment\) \(No 2\) Act 1997](#)
- [Firearms Rules 1998/ 1941](#)
- [Control of Explosives Regulations 1991/ 1531](#) Regulations 5(3), 12, 19 & Schedule 3

10. HEALTH & SAFETY

- [Health & Safety at Work etc Act 1974](#) Section 2(3)
- [Management of Health & Safety at Work Regulations 1999/ 3242](#) Regulations 3 and 5
- [Social Security \(Claims & Payments\) Regulations 1979/ 628](#) Regulations 24 and 25
- [Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995/ 3163](#) Regulation 7
- [Control of Asbestos Regulations 2012/ 632](#) Regulations 6, 13, 19, 22 and 33
- [Control of Lead at Work Regulations 2002/ 2676](#) Regulations 8(4), 9(4) and 10(5)
- [Control of Substances Hazardous to Health Regulations 2002/ 2677](#) Regulations 6, 9 (4), 10 (5), 11(2) and Schedule 3 Regulation 4(3)
- [Ionising Radiations Regulations 1999/ 3232](#) Regulations 10(2), 18(5), 24(3) and 39(7)
- [Work in Compressed Air Regulations 1996/ 1656](#) Regulations 10(3), 11(4) 11(5) and 11(8)

- [Special Waste Regulations 1996/ 972 Regulations 15\(4\), 15\(5\), 15\(7\) and 15A\(3\)](#)
- [Environmental Protection \(Duty of Care\) Regulations 1991/ 2839 Regulation 3](#)
- [Provision & Use of Work Equipment Regulations 1998/ 2306 Regulation 35\(1\)](#)
- [Fire Precautions Act 1971 as amended by Fire Precautions \(Workplace\)\(Amendment\) Regulations 1999](#)
- [Construction \(Design and Management\) Regulations 1994](#)
- [Lifting Operations and Lifting Equipment Regulations 1998/ 2307 Regulation 11\(2\)](#)
- [Noise at Work Regulations 2005/ 1643 Regulations 5, 9, 10 and 11](#)
- [Health and Safety \(Display Screen Equipment\) Regulations 1992/ 2792 Regulations 2 and 5](#)

12. LICENSING

- [Licensing \(Scotland\) Act 2005 Sections 20, 20\(4\), 22 and 77](#)
- [Civic Government \(Scotland\) Act 1982 Schedule 1 Section 8](#)
- [Gambling Act 2005 Section 22 and Schedule 14 Section 13](#)
- [Lotteries and Amusements Act 1976](#)
- [Gaming \(Bingo\) Act 1985](#)
- [Pedlars Act 1871 Sections 5\(5\), 5\(6\), 8 and 9](#)
- [Misuse of Drugs Act 1971 Section 10](#)

13. MEDIA & COMMUNICATIONS

- [Copyright, Designs and Patents Act 1988](#)

15. OPERATIONS

- [Working Time Regulations 1998 / 1833 Regulations 4 and 9 and Schedule 3 Regulation 2](#)
- [Civic Government \(Scotland\) Act 1982 Section 68\(6\)](#)
- [Road Traffic Act 1988 Sections 45\(6B\), 46\(A\) and Schedule 2Ai\(3\)](#)

16. PERSONNEL, TRAINING & RECRUITMENT

- [Data Protection Act 1998](#) (although it does not stipulate retention)
- [European Convention on Human Rights](#)
- [Employment Rights Act 1996](#)
- [Police \(Scotland\) Acts](#) (various)
- [Police Scotland Regulations 2004 SSI 2004/257s15\(3\)](#)
- [Official Secrets Act 1989](#)

17. PROFESSIONAL STANDARDS

- [Police and Fire Reform \(Scotland\) Act 2012](#)
- [Police \(Conduct\) \(Scotland\) Regulations 1996 / 1642 Regulation 24](#)
- [Police \(Conduct\) \(Senior Officers\) Scotland Regulations 1999 / 1074 Regulation 30](#)

LIST OF ASSOCIATED REFERENCE DOCUMENTS

- [British Standard BS ISO 15489 - Information and documentation - Records Management](#)
- [Guidance on the Form and Content of the Model Records Management Plan for Developing Records Management Arrangements under Section 1 of the Public Records \(Scotland\) Act 2011 \(2012\)](#)
- [Model Records Management Plan for Developing Records Management Arrangements under Section 1 of the Public Records \(Scotland\) Act 2011 \(2012\)](#)
- [Scottish Ministers, Code of Practice on Records Management by Scottish Public Authorities under the Freedom of Information \(Scotland\) Act 2002 \(2011\)](#)
- [ACPOS Management of Police Information Guidelines](#)

GLOSSARY OF TERMS

Reference Number

The reference number provides a citation for ease of reference

Function Description

Defines each function in terms of its activities and processes (may also include some record types)

Retention Action

This entry stipulates how long information should be kept and at what point it should be destroyed or reviewed

Examples of Records

Lists different types of common records that may result from the function described. It is not an exhaustive list and is intended purely as a sample

Notes

Any relevant information, including the reason for setting the retention period

Archive

Retain permanently. Information will never be destroyed and will be kept as a permanent record of the work of the force.

Destroy

Destroy/ delete/ purge information on all formats. Usually given in the form of "Current year + x"

Review

Using review criteria provided, assess whether record should be retained for a further period or destroyed

Current year + x

Destroy after the full year that document dated or closed + x full years e.g. document dated 01/09/2012 marked 'Current year + 6' would be destroyed on 01/01/2019
Unless otherwise stated, 'current year' refers to the current calendar year.

Closure

A record/ file is closed when it ceases to be active or at the end of a year, depending on the subject. After closure no new records or information should be added to the record. Triggers for closing a file include: reaching an unmanageable size; covering a period of x years; no records added for x period of time; no action taken for x period of time; completion of an event or incident.

RETENTION OF INFORMATION HELD ON SCOTTISH CRIMINAL HISTORY SYSTEM (CHS)

Disposals which are convictions (findings of guilt) or alternatives to prosecution not referred to specifically below (including admonishment and absolute discharge) will be retained as follows:

- For the life of the offender (until the subject has attained 100 years of age) where any of the following criteria apply:
 - a sentence of life imprisonment has been imposed
 - subject is detained during Her Majesty's pleasure
 - subject is detained without limit of time
 - the offence is a sexual or sexually aggravated offence, or
- In accordance with the 70/30 rule (until the subject has attained 70 years of age and the conviction is 30 years old) where any of the following criteria apply:
 - the conviction is on indictment (solemn procedure)
 - the disposal is a ruling under the Mental Health Acts
 - a custodial sentence has been imposed, or
 - In accordance with the 40/20 rule (until the subject has attained 40 years of age and the conviction is 20 years old)

The following records which relate to other offending and non-conviction disposals will be retained for 2 years:

- Warnings to prostitutes (except where a second warning has been recorded in the same period - in which case the 40/20 rule applies)
- Police and Senior Police Officer's warnings
- Police fixed penalty notices
- Fiscal warnings
- Fiscal disposals (fines, compensation orders, combined orders and work orders) for non-sexual and non-violent offences *
- Children's Hearing disposals (grounds accepted and grounds established) for non-sexual and non-violent offences **

The following disposals will be retained for 3 years:

- Fiscal disposals (fines, compensation orders, combined orders and work orders) for sexual and violent offences *
- Non findings of guilt, cases not called at Court, cases deserted and Fiscal decisions of no further proceedings for sexual and violent offences *

(This period may however be extended by up to two years where a Sheriff has ruled to extend the retention of the associated forensic samples. Further extensions may be applied for at the end of each extension period.)

Children's Hearing disposals (grounds accepted and grounds established) for sexual and violent offences** will be retained for 3 years and then reviewed, as per the requirement to review the associated fingerprint and DNA retention.

- * *Offences prescribed by legislation in Criminal Justice and Licensing (Scotland) Act 2010 Sections 77 to 82 which amends sections 18 and 19 of the Criminal Justice and Licensing Act 1995 (as amended 2007).*
- ** *Offences prescribed by legislation in "Children's Hearings act 2012 and amendments to ROA"*

Records marked as temporary retention - i.e. non findings of guilt such as no proceedings, no further proceedings, grounds not established etc - will be retained for 6 months except where case is sexual or violent (see above).

Historical records of bail granted and bail conditions will be retained for 6 months from the end of the bail order.

