



Records Management

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Policy No.	196

Approved by

Legal Services	✓ 21.01.16.
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Note: By signing the above you are authorising the policy for publication and are accepting responsibility for the policy on behalf of the Chief Constables.

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Note: Please send the original Policy with both signatures on it to the Norfolk CPU for the audit trail.

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Legal Basis

(Please list below the relevant legislation which is the legal basis for this policy). You must update this list with changes in legislation that are relevant to this policy and hyperlink directly to the legislation.

Legislation/Law specific to the subject of this policy document

Section	Act (title and year)

Other legislation/law which you must check this document against (required by law)

Act (title and year)
Human Rights Act 1998 (in particular A.14 – Prohibition of discrimination)
Equality Act 2010
Crime and Disorder Act 1998
H&S legislation
Data Protection Act 1998
Freedom Of Information Act 2000
Civil Contingencies Act 2004

Other Related Documents

- Authorised Professional Practice
- Information Security Acceptable Usage policy
- Management of Police Information Code of Practice (MoPI)
- Lord Chancellor (2002) Code of Practice
- BSI ISO 15489:2001
- Regulation of Investigatory Powers Act 2000
- Review, Retention & Disposal (RR&D) Schedule
- Review Retention and Disposal of Crime Related Information Policy.

1. Introduction

- 1.1 Norfolk and Suffolk Constabularies are legally required to efficiently manage the records they hold.
- 1.2 This policy outlines how Norfolk and Suffolk Constabularies will effectively create, manage and protect all types of records.
- 1.3 Records contain information that is a valuable resource and an important business asset. This policy will ensure appropriate processes are in place to manage records sufficiently, to locate, retrieve, review and retain information for the appropriate period of time, prior to disposal.
- 1.4 All information held for policing activity and non-policing activity will be recorded and managed in a competent, efficient and consistent manner to support the business activities of both Norfolk and Suffolk Constabularies and ensure that national and local objectives are met.

2. Definition and Scope of Policy

- 2.1 The British Standards Institution defines a 'record' as:

'information created, received and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business'. (BS ISO 15489:2001).

- 2.2 The British Standards Institution also gives the following definition of 'records management':

"The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use and disposition of records, including the processes for capturing and maintaining evidence of and information about business activities and transactions in the form of records." (BS ISO 15489:2001).

- 2.3 This policy applies to all records in any format created, received or maintained (including hard copy, electronic, digital, photographic and optical media) by both Norfolk and Suffolk Constabularies.
- 2.4 All emails created, received or maintained by Norfolk and Suffolk Constabularies are covered by this policy.
- 2.5 This policy does not apply to copies of documents published by other organisations that are kept for reference purposes only.

3. Record Features – What is a record?

- 3.1 Records are the Constabularies' organisational memory, providing evidence of actions and decisions, and represent a vital asset to support the Constabularies' daily functions and operations.

3.2 Norfolk and Suffolk Constabularies will keep records that are complete, authentic, reliable, secure and accessible, and will manage those records with good practice, including legislative requirements throughout their lifecycle. All records will be:

- **Complete** – adequate records are created and maintained to account fully for all actions and decisions, in particular:
 - a) To protect legal and other rights of staff or those affected by those actions;
 - b) To facilitate audit or examination;
 - c) To provide credible and authoritative evidence.
- **Authentic & Reliable** – records are comprehensive and accurate, that the information they contain is trustworthy, and that it can be guaranteed as genuine.
- **Accessible** – records and the information within can be efficiently retrieved by those with a legitimate right of access, for as long as the records are held by the Constabularies.
- **Secure** – records will be protected from unauthorised or inadvertent alteration, damage or erasure. Access and disclosure will be properly controlled and managed with associated audit trails which will track all use and changes. Records will be protectively marked in accordance with the appropriate security marking Policy.

4. Police Information

4.1 Police information is information that is required for a policing purpose. The MoPI Code of Practice defines 'policing purpose' as:

- Protection of life or property.
- Preservation of order.
- Preventing the commission of offences.
- Bringing offenders to justice.
- Any duty or responsibility of the police arising from common or statute law.

4.2 The five purposes are not mutually exclusive and information that is collected for one policing purpose may have a value to another. Information can be collected for one purpose and used for another that may not have been known about at the point of collection. A policing purpose must be identified for the information to be legally held.

4.3 Police information is a corporate resource for the whole police service; therefore information collected by one policing team within a force may be relevant to another policing team within that force, another force or agency.

- 4.4 Police Information must meet the requirements of the Data Protection Act 1998 (DPA) and is subject to the [Management of Police Information \(MoPI\) Guidance](#).
- 4.5 The MoPI Guidance specifically applies to records held within the business areas of crime, intelligence, custody, domestic violence, child abuse investigation, and firearms revocations and refusals. The procedure for the Review Retention and Disposal (RR&D) of this type of information can be found in the RR&D of Crime Related Information Policy.

5. Non-policing Information / Administration Records

- 5.1 Information that is additional to a policing purpose (e.g. personnel, pay and procurement records) does not come under MoPI. The RR&D of Non-Crime Related Information Policy should be referred to.

6. Roles & Responsibilities

- 6.1 **The Business Owner** – remains the owner of the record from its creation to destruction. The business owner is responsible for ensuring records are weeded and prepared for archiving when they are no longer required for any ongoing work. This includes submitting details of each record being retained for archive within the asset tracking database Transearch. When the records are ready for archive they will need to be submitted to the Business Records Team within the Records Management Unit who will arrange for the records to be stored at the archive storage site. The business owner also remains responsible for deciding on retention or disposal of Non crime records/information due for review.
- 6.2 **The Records Management Unit** – will manage all records during the period of storage, once they are no longer active records (in current use).
- 6.3 On receipt of information prepared for archive by the business area the Records Management Unit will arrange for the records to be stored at the archive storage site.
- 6.4 When a record is requested back from archive by any department within the Constabularies and the original hard copy record is not required, a scan back facility is available. This involves the Records Management Unit recalling the archived documentation and scanning all or part of the record into the Transearch Associated Document Archive (ADA) area from where the requesting department can view an electronic version of the record.
- 6.5 **The MoPI Team within the Records Management Unit** are responsible for the RR&D of all crime related information.
- 6.6 **All Staff** – within the Constabularies have a responsibility to be aware of this Record Management Procedure and to contribute to its effectiveness by ensuring that information is initially recorded accurately and evaluated

correctly. Any staff member of the Constabularies, who receive an original file from Records Management after retrieval from store, remains responsible for the paper record content, its location and security until it is returned to Records Management.

7. Key Definitions

7.1 All the Constabularies' records will be assigned to a Review, Retention & Disposal Schedule. The criteria considered in setting a disposal schedule are:

- Legal obligation to keep the record;
- Audit Requirements;
- Business Needs

Review

7.2 To examine a record and all associated records, to ensure that:

- There is a continuing policing purpose for holding the record;
- The information is compliant with the APP Information Management (MoPI) guide;
- That all personal records are compliant with the Data Protection Act principles.

Retention

7.3 The continued storage of, and controlled access to, information held for a policing purpose, which has been justified through the evaluation and review process.

Disposal

7.4 The removal of information from all police record systems, justified through the evaluation and review process, to the extent that the information cannot be restored.

7.5 Destruction of any record will comply with the appropriate security marking policy.

7.6 The process for Crime related Information is defined within the Review, Retention and Disposal of Crime Related Information Policy.

7.7 The retention and disposal periods are defined within the Review Retention & Disposal (RR&D) Schedule.