

Policy: Information Governance

Equality Statement

The Office of the Police and Crime Commissioner (OPCC) is committed to the principles of equality and diversity. No member of the public, member of staff, contractor, volunteer or job applicant shall be discriminated against on the grounds of age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; or sexual orientation.

Policy statement

This Policy covers our obligations under the Freedom of Information Act 2002, the Data Protection Act 2018 and our policy on records management and retention.

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Freedom of Information

1. The Police and Crime Commissioner (the Commissioner) will use all appropriate and necessary means to ensure that he complies with the Freedom of Information Act 2000 (the Act) and its principles of openness and accountability
2. The Act is overseen by the Information Commissioner who has the ability to monitor organisational compliance, issue undertakings, serve information and enforcement notices and, if needed, initiate court proceedings to ensure compliance.

Publication scheme

3. The Commissioner has adopted the model publication scheme issued by the Information Commissioner's Office. This can be viewed on the Commissioner's website: [Publication Scheme](#). Applications for information listed in the Publication Scheme may be received verbally or in writing.

General rights of access

4. The Act gives a general right of access to recorded information held by the Commissioner, subject to certain conditions and exemptions contained in the Act. Simply, any person making a request for information to the Commissioner is entitled
 - to be informed in writing whether the Commissioner holds the information of the description specified in the request; and
 - if the Commissioner holds the information, to have that information communicated to them
5. This is referred to as the 'duty to confirm or deny'. These provisions mean that if the Commissioner holds the information, he must provide it, subject to certain conditions and exemptions. The Commissioner will ensure that procedures and systems are in place to facilitate access by the public to recorded information.

6. In accordance with the Act, a request for information under the general rights of access must be received in writing, stating the name of the applicant and an address for correspondence, and describes the information requested. For the purposes of general rights of access, a request is to be treated as made in writing if it is transmitted by electronic means, is received in legible form and is capable of being used for subsequent reference.

Conditions and exemptions

7. The duty to confirm or deny is subject to certain conditions and exemptions. The duty to confirm or deny does not arise where the Commissioner:
 - reasonably requires further information in order to identify and locate the information requested; and
 - has informed the applicant of that requirement
8. The Commissioner will make reasonable efforts to contact the applicant for additional information pursuant to their request should further information be required.
9. Under the Act, the Commissioner does not have to comply with this duty if the information is exempt under the provisions of Part II of the Act. These provisions either confer an absolute exemption or a qualified exemption. A qualified exemption may be applied if, in all circumstances in all of the case, the public interest in maintaining the exclusion of the duty to confirm or deny outweighs the public interest in disclosing whether the Commissioner holds the information. The Part II exemptions are listed in Annex A of this policy. The Commissioner will seek to use the qualified exemptions sparingly and will justify the use of such exemptions.
10. The duty to comply with a request for information does not arise if the Commissioner estimates that the cost of compliance with the request would exceed the appropriate limit that has been established in national Fees Regulations. The Commissioner will work with applicants to keep compliance costs to a minimum but reserves the right to either (a) refuse or (b) charge for the communications that exceeds this limit.
11. The Commissioner is not obliged to comply with a request for information if the request is vexatious. Where the Commissioner has previously complied with a request for information which was made by any person, he is not obliged to comply with a subsequently identical or similar request from that person unless a reasonable interval has elapsed between compliance with the previous request and the making of the current request. The Commissioner will log all requests for information for monitoring purposes and will be able to identify repeated or vexatious requests.

Charges and fees

12. The Commissioner will not generally charge for information that he has chosen to publish in accordance with the Publication Scheme. Charges may be levied for hard copies, multiple copies or copying onto media such as CD-ROM. The Publication Scheme and the procedures that support this policy will provide further guidance on charging.
13. The Commissioner will follow the national Fees Regulations for general rights of access under the Act. These Regulations set an appropriate limit on costs of compliance, a manner in which an appropriate fee may be calculated and circumstances in which no fee should be levied.

14. In all cases where the Commissioner chooses to charge for information published through the Publication Scheme or levy a fee arising from an information request under general rights of access, a fees notice will be issued to the applicant as required by section 9 of the Act. Applicants will be required to pay any fees within a period of three months beginning with the day on which the fees notice is given to them.

Time limits for compliance with requests

15. The Commissioner has established systems and procedures to ensure that the organisation complies with the duty to confirm or deny and to provide the information requested within twenty working days of a request in accordance with section 10 of the Act. All staff will be required to comply with the requirements of these procedures.
16. If the information requested by the applicant incurs a charge or a fee and the applicant has paid this in accordance with section 9(2), the workings days in the period from when the applicant received the fees notice to when they paid will be disregarded for the purposes of calculating the twentieth working day following receipt.
17. If the Commissioner chooses to apply an exemption to any information or to refuse a request as it appears to be vexatious or repeated, or exceeds the appropriate limit for costs of compliance, a notice shall be issued within twenty working days informing the applicant of this decision.

Means by which information will be conveyed

18. When an applicant, on making their request for information, expresses a preference for communication by any one or more of the following means, namely:
 - the provision to the applicant of a copy of the information in permanent form or in another form acceptable to the applicant
 - the provision to the applicant of a reasonable opportunity to inspect a record containing the information; and
 - the provision to the applicant of a digest or summary of the information in permanent form or in another form acceptable to the applicant

the Commissioner shall, in so far as is reasonably practicable, give effect to that preference in accordance with section 11 of the Act.

19. In determining whether it is reasonably practicable to communicate information by a particular means, the Commissioner will consider all the circumstances, including the cost of doing so. If the Commissioner determines that it is not reasonable practicable to comply with any preference expressed by the applicant in making their request, the Commissioner will notify the applicant of the reasons for his determination and will provide the information by such means as which he deems to be reasonable in the circumstances.
20. The Commissioner will establish systems and procedures to monitor the provision of information arising from requests under the Act.

Refusal of requests

21. As indicated above, the duty to confirm or deny does not arise if the Commissioner:
 - applies an exemption under Part II of the Act illustrated in Annex A

- has issued a fees notice under section 9 of the Act and the fee has not been paid within a period of three months beginning with the day on which the fees notice was given to the applicant
 - under section 12 of the Act, estimates that the cost of compliance with the request for information exceeds the appropriate limit
 - can demonstrate that the request for information is vexatious or repeated, as indicated by section 14 of the Act
22. If the Commissioner chooses to refuse a request for information under any of the above clauses, the applicant will be informed of the reasons for this decision within twenty working days. As set out in section 17(7) of the Act, the applicant will also be informed of the procedures for making a complaint about the discharge of the duties of the Commissioner under the Act and the rights of appeal to the Information Commissioner conferred by section 50 of the Act.
23. If the Commissioner is, to any extent, relying on a claim that:
- any provision of Part II (relating to the duty to confirm or deny) is relevant to the request; or
 - on a claim that information is exempt information
- a notice will be issued within twenty working days under section 17 of the Act. The notice will:
- state that fact
 - specify the exemption in question
 - state (if that would not otherwise be apparent) why the exemption applies; and
 - give details of the Commissioner's complaint procedure(s) and how to appeal to the Information Commissioner
24. Where the Commissioner is considering applying an exemption and has not yet reached a decision as to the application of an exemption, the notice will indicate that no decision as to the application of an exemption has been reached. It will contain an estimate of the date by which the Commissioner expects that a decision will have been reached.
25. As indicated by the Code of Practice issued by the Ministry of Justice under section 45 of the Act, such estimates should be realistic and reasonable and compliance is expected unless there are extenuating circumstances. If an estimate is exceeded, the applicant will be given a reason(s) for the delay and offered an apology by the Commissioner. If the Commissioner finds, while considering the public interest, that the estimate is proving unrealistic, the applicant will be kept informed. The Commissioner will keep a record of instances where estimates are exceeded, and where this happens more than occasionally, take steps to identify the problem and rectify it.
26. In applying a qualified exemption under subsection (1)(b) or (2)(b) of section 2 of the Act, the Commissioner will, either in the notice issued or a separate notice given within such a time as is reasonable in the circumstances, state the reasons for claiming:
- That, in all circumstances of the case, the public interest in maintaining the exclusion of the duty to confirm or deny outweighs the public interest in disclosing whether the Commissioner holds the information; or
 - That, in all circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information
27. The statement should not involve the disclosure of information, which would itself be exempt information.

28. If the Commissioner is relying on a claim that section 12 (cost exceeds appropriate limit) or 14 (vexatious or repeated request) of the Act apply, the notice will state that fact. If the Commissioner is relying on a claim that the request is vexatious or repeated under section 14 of the Act, and a notice under section 17 has already been issued to the applicant stating this fact, a further notice is not required.
29. The Commissioner will keep a record of all notices issued to refuse requests for information.

Duty to provide advice and assistance

30. The Commissioner will ensure that systems and procedures are in place to meet the duty of the Commissioner to provide advice and assistance, so far as it would be reasonable to expect the Commissioner to do so. This is a duty under section 16 of the Act.
31. The Commissioner will ensure that the systems and procedures that are deployed to meet the section 16 duty also conform to the Code of Practice issued under section 45 of the Act.

Transferring requests for information

32. A request can only be transferred where the Commissioner receives a request for information which he does not hold, within the meaning of section 3(2) of the Act, but which is held by another public authority. If the Commissioner is in receipt of a request and holds some of the information requested, a transfer can only be made in respect of the information he does not hold (but is held by another public authority). The Commissioner recognises that “holding” information includes holding a copy of a record produced or supplied by another person or body (but does not extend to holding a record on behalf of another person or body as provided for in section 3(2)(a) of the Act).
33. Upon receiving the initial request for information, the Commissioner will always process it in accordance with the Act in respect of such information relating to the request as he holds. The Commissioner will also advise the applicant that he does not hold part of the requested information, or all of it, whichever applies. Prior to doing this, the Commissioner must be certain as to the extent of the information relating to the request, which he holds himself.
34. If the Commissioner believes that some or all of the information requested is held by another public authority, the Commissioner will consider what would be the most helpful way of assisting the applicant with his or her request. In most cases this is likely to involve:
 - contacting the applicant and informing him or her that the information requested by be held by another public authority
 - suggesting that the applicant re-applies to the authority which the original authority believes to hold the information
 - providing him or her with contact details for that authority
35. Where there are reasonable grounds to believe an applicant is likely to object, the Commissioner will only transfer the request to another authority with the applicant's consent. If there is any doubt, the applicant will be contacted with a view to suggesting that he or she makes a new request to the other authority.

36. All transfers of requests will take place as soon as is practicable, and the applicant will be informed as soon as possible. Where the Commissioner is unable either to advise the applicant which information he may or may not hold or may not be able to facilitate the transfer of the request to another authority (or considers it inappropriate to do so), the Commissioner will consider what advice, if any, he can provide to the applicant to enable him or her to pursue his or her request.

Consultation with third parties

37. The Commissioner recognises that in some cases the disclosure of information pursuant to a request may affect the legal rights of a third party, for example, where information is subject to the common law duty of confidence or where it constitutes “personal data” within the meaning of the Data Protection Act 2018 (the DPA). Unless an exemption provided for in the Act applies in relation to any particular information, the Commissioner will be obliged to disclose that information in response to a request.
38. Where a disclosure of information cannot be made without the consent of a third party, for example, where information has been obtained from a third party and, in the circumstances, the disclosure of the information without their consent would constitute an actionable breach of confidence (such that the exemption at section 41 of the Act would apply), the Commissioner will consult that third party. This will be with a view to seeking their consent to the disclosure, unless such a consultation is not practicable, for example, because the third party cannot be located or because the costs of consulting them would be disproportionate. Where the interests of the third party, which may be affected by a disclosure, do not give rise to legal rights, consultation may still be appropriate.
39. Where information constitutes “personal data” within the meaning of the DPS, the Commissioner will have regard to section 40 of the Act which makes detailed provision for cases in which a request relates to such information and the interplay between the Act and the DPS in such cases.
40. The Commissioner will undertake consultation where:
- the views of the third party may assist the Commissioner to determine whether an exemption under the Act applies to the information requested; or
 - the views of the third party may assist the Commissioner to determine where the public interest lies under section 2 of the Act
41. The Commissioner may consider that consultation is not appropriate where the cost of consulting with third parties would be disproportionate. In such cases, the Commissioner will consider the most reasonable course of action for him to take in light of the requirements of the Act and the individual circumstances of the request. Consultation will be unnecessary where:
- the Commissioner does not intend to disclose the information relying on some other legitimate ground under the terms of the Act
 - the views of the third party can have no effect on the decision of the Commissioner, for example, where there is other legislation preventing or requiring the disclosure of this information; and
 - no exemption applies and so under the Act’s provisions, the information must be provided
42. Where the interests of a number of third parties may be affected by a disclosure and those parties have a representative organisation that can express views on behalf of those parties, the Commissioner will, if he considers consultation appropriate, consider

that it would be sufficient to consult that representative organisation. If there is no representative organisation, the Commissioner may consider that it would be sufficient to consult a representative sample of the third parties in question.

43. The fact that the third party has not responded to consultation does not relieve the Commissioner of his duty to disclose information under the Act, or his duty to reply within the time specified in the Act. In all cases, it is for the Commissioner, not the third party (or representative of the third party) to determine whether or not information should be disclosed under the Act. A refusal to consent to disclosure by a third party does not in itself mean information should be withheld.

Public sector contracts

44. When entering into contracts, the Commissioner will refuse to include contractual terms that purport to restrict the disclosure of information held by the Commissioner and relating to the contract beyond the restrictions permitted by the Act. Unless an exemption provided for under the Act is applicable in relation to any particular information, the Commissioner will be obliged to disclose that information in response to a request, regardless of the terms of any contract.
45. When entering into contracts with non-public authority contractors, the Commissioner may be under pressure to accept confidentiality clauses so that information relating to the terms of the contract, its value and performance will be exempt from disclosure. As recommended by the Ministry of Justice, the Commissioner will reject such clauses wherever possible. Where, exceptionally, it is necessary to include nondisclosure provisions in a contract, the Commissioner will investigate the option of agreeing with the contractor a schedule of the contract that clearly identifies information which should not be disclosed. The Commissioner will take care when drawing up any such schedule, and be aware that any restrictions on disclosure provided for could potentially be overridden by obligations under the Act, as described in the paragraph above. Any acceptance of such confidentiality provisions must be for good reasons and capable of being justified to the Information Commissioner. When entering into the above contracts, the Commissioner will make it clear that these restrictions apply to sub-contractors also and the Secretary of State has the powers to designate them as 'public bodies' for the purpose of making them comply with the Act.
46. The Commissioner will not agree to hold information 'in confidence' which is not in fact confidential in nature. Advice from the Ministry of Justice indicates that the exemption provided for in section 41 only applies if information has been obtained by a public authority from another person and the disclosure of the information to the public, otherwise than under the Act, would constitute a breach of confidence actionable by that, or any other person.
47. It is for the Commissioner to disclose information pursuant to the Act, and not the non-public authority contractor. The Commissioner will take steps to protect from disclosure by the contractor information that he has provided to the contractor (which would clearly be exempt from disclosure by the Act) by appropriate contractual terms. In order to avoid unnecessary secrecy, any such constraints will be drawn as narrowly as possible and according to the individual circumstances of the case. Apart from such cases, the Commissioner will not impose terms of secrecy on contractors.

Accepting information in confidence from third parties

48. The Commissioner will only accept information from third parties in confidence, if it is necessary to obtain that information in connection with the exercise of any of the Commissioner's functions and it would not otherwise be provided.
49. The Commissioner will not agree to hold information received from third parties "in confidence" which is not confidential in nature. Again, acceptance of any confidentiality provisions must be for good reasons, capable of being justified to the Information Commissioner.

Dealing with requests outside of the Freedom of information Act

50. When a request is made it is sometimes deemed appropriate to handle a case without reference to the FOI legislation.
51. We might choose to respond outside of the act where the request is for anything other than recorded information. That is to say anything that is not held on record, either electronic or paper. We might also respond outside the act where the information requested is regarded to be standard information that is available immediately on the website for example.
52. When we respond outside the FOI rules, it is not done to avoid providing any information or to circumvent the agencies obligations. We would only respond outside the act where we are providing a full response and it is deemed more efficient, and more effective for the applicant to do so in this manner. In such cases, the request will be dealt with as general casework.

Complaints about the discharge of the duties of the Commissioner under the Act

53. If an applicant is unhappy with the response to their request under the Freedom of Information Act they may request an internal review. Details of the Internal Review process shall be provided to every applicant at the same time as the response to their request.
54. The Internal Review information shall also advise applicants of their rights under section 50 of the Act to apply to the Information Commissioner if they remain dissatisfied with the conduct of the Commissioner following attempts at local resolution of their complaint.

RECORDS MANAGEMENT

55. The Commissioner will have a separate policy, with supporting systems and procedures, which will ensure compliance with the Ministry of Justice's Code of Practice on the Management of Records under section 46 of the Freedom of Information Act 2000.
56. The policy and associated procedures will address issues of active records management – creation, keeping, maintenance and disposal – according to the requirements that the law places upon the Commissioner.

Implementation and compliance – responsibilities of all staff

57. All staff are obliged to adhere to this policy. A failure to comply with the requirements of the policy and related procedures (and where such failure could have been avoided) by all managers and employees will reflect in poor performance, which may then lead to disciplinary action. Managers retain the responsibility of ensuring that all employees are made aware of the provisions of this policy, and for keeping their own staff up-to-date

on changes as they occur. Managers also retain the responsibility of ensuring that employees are able to comply with the provisions of this policy.

Corporate oversight

58. The Chief Executive (as Monitoring Officer) will oversee the implementation of this policy. The Chief Executive will establish systems and procedures that will support the implementation of this policy, to which, as stated above, all staff will be expected to adhere.

Information and Records Management

1. The policy covers the management of all records and information, regardless of medium or format, including electronic records, and it is applicable to all employees of the Police and Crime Commissioner for the West Midlands as well as the Police and Crime Commissioner, Assistant Police and Crime Commissioners, volunteers, consultants and partner organisations.
2. Records shared with other organisations or held on behalf of the Commissioner by other organisations should be managed in accordance with this policy.
3. The Commissioner recognises that having accurate and relevant information is essential to effective decision making and quality customer service. As an important public asset, records require careful management.
4. Good records management is essential to ensure that the Commissioner can comply with his legislative responsibilities and can act as a driver for business efficiency.

Approach

5. We keep records for as long as required to:
 - comply with relevant legislation such as the Public Records Act, General Data Protection Regulation and Data Protection Act 2018, Freedom of Information Act 2000
 - conduct business in an orderly, efficient and accountable manner
 - deliver core functions in a consistent and equitable manner
 - support and document policy formulation and managerial decision-making
 - provide consistency, continuity and productivity in management and administration
 - provide continuity in the event of disaster
 - meet legislative and regulatory requirements
 - provide protection and support in litigation, and in the management of risks
 - protect the interests of the organisation and the rights of employees, students, clients and present and future stakeholders
 - support and document current and future research and development activities developments and achievements, as well as historical research
 - provide evidence of business, personal and cultural identity, and
 - maintain corporate, personal or collective memory
6. Our records management principles:
 - records and information are owned by the Police and Crime Commissioner not by the individual or team
 - keeping records is an integral part of all business activities
 - a complete record of all activities must be securely stored in a shared location, easily identified and accessible to those who need to see it

- adequate storage accommodation is provided for the records
 - tracking and monitoring the movement and location of records should take place so that they can be easily retrieved
 - the complete record may be in any format, but preferably electronic – significant emails are held alongside other information and must not be stored solely in personal mailboxes or hard drives
 - information will be held only as long as required, and disposed of in accordance with the record retention schedule (at Annex 1)
 - information should be available to all unless there is a valid reason to restrict access. A large amount of the information held is placed on the website and available for public inspection
 - records of historical and administrative importance should be identified as archives and transferred to Birmingham City Council's Archives & Heritage section for permanent retention
7. The Freedom of Information Act 2000 and the GDPR provide members of the public with the right to request information held by public authorities. The Commissioner is fully committed to the provisions of these Acts, and supports the underlying principles of openness and transparency. The Freedom of Information Policy is available on the Police and Crime Commissioner's website.

Retention of Records

8. With increasing public access to our records, it is important that disposal of records happens as part of a managed process and is adequately documented. Therefore the document retention schedule in Appendix A sets out guidelines on how long we will retain documents. The retention schedule may be updated when the need arises, to reflect the types of documents held by the Commissioner, and also to reflect current best practice. Disposal will take place in a secure manner to ensure that confidentiality and security is maintained.
9. Aside from the standard procedure set out below, whenever there is a possibility of litigation following a:-
- Request under the Freedom of Information Act 2000 or
 - A Subject Access Request under the GDPR
- records likely to be affected should not be amended or disposed of until:
- the threat of litigation has ended,
 - the Subject Access Request has been actioned, or
 - the appeal processes under the Freedom of Information Act have been exhausted.
- In these circumstances this decision should be recorded on the record.
10. Partnership working – where records are created as a result of partnership working there needs to be clearly defined responsibilities between the Commissioner and the partner organisation for the creation and management of records. Where the Commissioner is the lead partner this Information and Records Management policy will be applicable, and the Commissioner will be responsible for the custody and ownership of the records.

Where another organisation is the lead partner:

- the records management policy and procedures of the lead organisation are applicable;
- the lead partner organisation will be responsible for custody and ownership of records;

- the Commissioner should identify and retain records relating to its role in partnership required for its own business purposes. They should be retained in line with the Commissioner's records management policy.

Where there is no identified lead partner the Commissioner should ensure that provisions are made for one of the partners to assume responsibility for the management of the records.

11. Commissioned services and suppliers - the Commissioner will comply with the requirements of the Specified Information Order regarding publicising details of contracts. The Commissioner will ensure contracts place clear obligations on suppliers to manage records created or held by external agencies.
12. Project records - Where records, such as project records, are created as a result of an activity of a temporary nature the senior manager with responsibility for the activity is responsible for:
 - ensuring appropriate records are created and managed in accordance with this policy;
 - ensuring there are appropriate resources assigned to fulfil the responsibility for managing records;
 - ensuring ownership for the records transfer(s) to the Commissioner once the activity has ended.
13. Individuals - The Commissioner and APCCs, employees, contractors, consultants and volunteers employed to undertake PCC business, have a responsibility to document actions and decisions by creating and filing appropriate records and subsequently to maintain and dispose of those records in accordance with the principles set out in this policy.

DATA PROTECTION

The Data Protection Act 2018 (DPA 2018) together with UK GDPR provide the legislative framework for data protection, and this policy sets out how the Commissioner will meet the responsibilities under this framework. Data protection legislation applies to living individuals and gives those individuals a number of important rights to ensure that personal information covered by the Act is processed lawfully. It regulates the manner in which such information can be collected, used and stored, and so is of prime importance in the context of information sharing.

1. The Commissioner has appointed the Head of Business Services as the Data Protection Officer (Decision reference number 013/2018)

The Office of the Police and Crime Commissioner is registered with the Information Commissioner's Office as a data controller. The registration number is ZA002898.

Subject Access Requests

2. The Commissioner will respond properly to any request for personal data. Individuals can make a subject access request to find out what information is held about them and are encouraged to use the form provided for this purpose and should note that the Commissioner will need to satisfy himself of the identity of the individual. On arrival the request will be assessed and a copy of the privacy notice will be made available to enable the individual to understand how their data is used. Once identity has been verified the information will be provided within a month from the working day following the request and sooner where possible. If it is going to take longer, the individual will be notified.

3. There will be no charge for this service unless the request is manifestly unfounded, excessive or a duplicated request, in which case a reasonable fee to cover the cost of processing may be charged, in advance of the records being released. The Commissioner may exercise his right to refuse to comply with a request, and if so will state:
 - the reasons for not taking action;
 - their right to make a complaint to the ICO or another supervisory authority; and
 - their ability to seek to enforce this right through a judicial remedy.

Data Breaches

4. A personal data breach means a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, personal data. This includes breaches that are the result of both accidental and deliberate causes. It also means that a breach is more than just about losing personal data. When a personal data breach has occurred, the Commissioner will need to establish the likelihood and severity of the resulting risk to people's rights and freedoms.
5. The Commissioner has a responsibility to report a serious data breach to the ICO. If a member of staff, contractor, volunteer loses, mislays or has any information stolen from them they must notify the Data Protection Officer (Head of Business Services) immediately. If it is out of hours the staff member can contact the Out of Hours emergency media enquiries telephone in the first instance – (telephone number on [the website](#)), who will contact the Head of Business Services.
6. The Head of Business Services will assess the severity of the breach and make a decision on whether to notify the ICO. It may be that the individuals to whom the information relates will also need to be notified. Even if the ICO is not notified every breach will be logged on the Breach Log document, and where appropriate the information will be aggregated to identify patterns or risks. The individual concerned must also follow West Midlands Police processes where IT equipment is concerned so that equipment can be made safe appropriately. Other policies such as capability and disciplinary may be invoked to mitigate against further losses and support improvement of processes.

Appendix A: Retention Schedule

1. Board and Committee

Information and description	Timescale
Strategic Policing and Crime Board Agenda, Minutes and reports, and briefing notes	Permanently for historical interest
Audit Committee Agenda, Minutes and reports, and briefing notes	Permanently for historical interest
Annual Reports For reasons of historical interest	Permanently for historical interest
Other meetings and committees	6 years plus current financial year, unless items of historical interest - permanent

2. Corporate Governance and Business Activity

Information and description	Timescale
Strategic Police and Crime Plan	Permanently for historical interest
Election of the Police and Crime Commissioner Documents relating to election process	Permanently for historical interest (information is held by PARO)
Correspondence Enquiries and correspondence from members of the public	6 years from the date of the last contact with the member of the public
Risks Risk records, Risk register	Current financial year + 6
Business Continuity Plans Plans for business continuity-people/places etc.	Once new plans are finalized, previous versions can be disposed
Declarations of interests Made by PCC Made by APCC and SPCB members	End of term of office + 6 Current financial year + 6
Gifts and Hospitality Register Made by PCC Made by APCCs and SPCB members	End of term of office + 6 Current financial year + 6
Freedom of Information FOI Disclosures	6 Years from date of disclosure
Subject Access Requests	6 years from date of request
Complaints Made against the Chief Constable Made against staff or contractors	Current financial year + 6 Current financial year + 6
Press releases and media statements Copies taken from media	Items of historical interest - permanent, Other items term of office plus six years.

3. Financial Information

Information and description	Timescale
Accounts	Permanently

Statement of accounts rendered and payable accounts, outstanding accounts and orders	
Budgets Information relating to annual budgeting process	Current financial year + 6
Revenue Outturn Revenue outturn	Current financial year + 6
Details of Credit Card Expenditure PCC Credit Card For office credit cards	End of term of office + 6 Current financial year + 6
Equipment and supplies Stationery etc	Current financial year + 6
Audit information Audit reports	10 years, destroy any personal details in working papers after 6 years

4. Grants and Commissioning

Information and description	Timescale
Grants Information relating to grant expenditure processes including applications, monitoring, approvals, decisions and evaluations	End of Contract + 6y
Contracts Contracts with external organisations and suppliers	End of Contract + 6y

5. HR Information – Staff

Information and description	Timescale
Recruitment process information (internal and external candidates) All application information relating to unsuccessful candidates.	6 months
Recruitment process information Adverts, shortlisting and interview details. Scoresheets from shortlisting and interviews for successful applicants. Letters relating to appointment, assessments and selection	Until successful applicant leaves service
Vetting (inc temporary staff) Personnel vetting, local intelligence checks, references, referees checks, counter terrorist checks etc.	Length of employment + 1 year
Time sheets and Flexi Time Time sheet registers	Current financial year + 1
Personal details Personal details update	Current financial year + 3
Discipline /complaints Records Misconduct and Complaints records and procedures	Length of employment + 6 years
Employment Tribunals	Length of employment + 6 years

Employment Tribunal Records and Files	
Grievances Equal opportunities & sexual/racial harassment etc. reports and statements-not just about people	Length of employment + 6 years
PDR forms Performance indicators and individual progress record forms	6 Years
Sickness and health Records Sickness Forms, Doctors Notes, Occupational Health records	Until age 100
Acting up payments Temporary salary payments/Acting up payments	Until age 100
Change of circumstances Change of circumstance e.g. marriage/divorced etc., impacts on Pensions	Until age 100
Pay variation Supporting documents-E.g. Maternity application, maternity certificate/change of hours/pay increase/decrease	Until age 100
Pay variation Change in hours	Until age 100

6. HR Information – Contractors

Information and description	Timescale
Contracts	Current financial year + 6
Expenses	Current financial year + 6
Invoices	Current financial year + 6
Vetting (inc temporary staff) Personnel vetting, local intelligence checks, references, referees checks, counter terrorist checks etc.	Current financial year + 6

7. HR Information – Volunteers

Information and description	Timescale
Custody Visiting Details of rota, reports submitted by custody visitors, Panel meetings and other miscellaneous information	Current financial year + 6
Volunteer Personnel information Details of the volunteer recruitment and HR records	Same retention periods as used for OPCC staff
Work Experience or placement Personal details of individual who spent time with OPCC	Current financial year + 1
Work Experience or placement Admin details and correspondence to arrange the placement	Current financial year + 1

8. Health and Safety

Information and description	Timescale
Accidents at work PCC Accident at work Accident Report Forms, Reportable injuries, diseases and dangerous occurrence	End of term of office + 6 Current financial year + 6
Accidents at work- Employers Employers Liability Claims	Current financial year + 6
Health & Safety Records – Inspections Reports Inspection Reports	Current financial year + 6
Health & Safety Records – Risk Assessments Risk Assessments	Current financial year + 6

Version Control

Version No	Date	Author	Post	Reason for issue	Date agreed by PCC	Review Schedule
2.0	April 2021	Andrea Gabbitas	Head of Business Services	General Update		Bi-annual

ANNEX A: Exempt Information under Part II of the Freedom of Information Act 2000

A1.1 There are two types of exemption:

- a) Absolute, which do not require a test of prejudice or the balance of public interest to be in favour of non-disclosure
- b) Qualified by the public interest test, which require the public body to decide whether it is in the balance of public interest to not disclose information

A1.2 With the exception of section 21 (information available by other means) exemptions apply not only to the communication of information but also to the duty to confirm or deny, if that in itself would disclose information that it is reasonable to withhold.

A1.3 The absolute exemptions under the Act are:

- Section 21, Information accessible to the applicant by other means
- Section 23, Information supplied by, or relating to, bodies dealing with security matters
- Section 32, Court Records
- Section 34, Parliamentary Privilege
- Section 36, Prejudice to effective conduct of public affairs (so far as relating to information held by the House of Commons or the House of Lords)
- Section 40, Personal Information (where disclosure may contravene the Data Protection Act 1998)
- Section 41, Information provided in confidence
- Section 44, Prohibitions on disclosure

A1.4 The exemptions that are qualified by the public interest test are:

- Section 22, Information intended for future publication
- Section 24, National Security
- Section 26, Defence
- Section 27, International Relations
- Section 28, Relations within the United Kingdom
- Section 29, The Economy
- Section 30, Investigations and proceedings conducted by public authorities
- Section 31, Law Enforcement
- Section 33, Audit Functions
- Section 35, Formulation of Government Policy
- Section 36, Prejudice to effective conduct of public affairs (for all public authorities except the House of Commons and the House of Lords)
- Section 37, Communications with Her Majesty, etc. and honours
- Section 38, Health and Safety
- Section 39, Environmental Information
- Section 42, Legal Professional Privilege
- Section 43, Commercial Interests

A1.5 More information on the exemptions can be found on the national archives website at www.legislation.gov.uk

ANNEX B: Glossary of Terms

- B1.1 **Absolute exemption** – applies to information that does not have to be released to the applicant either through a Publication Scheme or through the general right of access under the Act. Information to which an absolute exemption applies does not require a public authority to take a test of prejudice or the balance of public interest to be in favour of non-disclosure. Reference to absolute exemptions can be found in Part, section 2 and Part II of the Act.
- B1.2 **Applicant** – the individual(s), group or organisation requesting access to information under the Act.
- B1.3 **Duty to confirm or deny** – any person making a request for information to a public authority is entitled to be informed in writing by the authority whether the public authority has the information specified in the request or not.
- B1.4 **Fees Notice** – a written notification issued to an applicant stating that a fee is payable and exempts public authorities from being obliged to disclose information until the fee has been paid. The applicant will have three months from the date of notification to pay the fee before his request lapses.
- B1.5 **Fees Regulations** –national regulations that will prohibit a fee with regard to certain types of request, set an upper limit on amounts that may be charged and prescribe the manner in which any fees are to be calculated. The regulations will not apply where provision is made under another Act as to the fee that may be charged for the provision of particular information.
- B1.6 **General right of access** – section 1 of the Act confers a general right of access to information held by public authorities. An applicant has a right to be told whether the information requested is held by that authority and, if it is held, to have it communicated to them. Provisions limiting an authority’s duty under section 1 appear in sections 1(3), 2, 9, 12 and 14 and in Part II of the Act. The grounds in sections 9, 12 and 14 relate to the request itself and the circumstances in which an authority is not obliged to comply with it. The provisions of Part II relate to the nature of the information requested.
- B1.7 **Information Commissioner** – the Information Commissioner enforces and oversees the Data Protection Act 1998 and the Freedom of Information Act 2000. The Information Commissioner is a United Kingdom (UK) independent supervisory authority reporting directly to the UK Parliament and has an international role as well as a national one. In the UK, the Information Commissioner has a range of duties including the promotion of good information handling and the encouragement of codes of practice for data controllers, that is, anyone who decides how and why personal data (information about identifiable, living individuals) are processed.
- B1.8 **Ministry of Justice** – is responsible for the efficient administration of justice in England and Wales. Broadly speaking, the Ministry of Justice is responsible for:
- the effective management of the courts
 - the appointment of judges, magistrates and other judicial office holders
 - the administration of legal aid; and
 - the oversight of a wide programme of Government civil legislation and reform in such fields as human rights, freedom of information, data protection, data sharing, family law, property law, electoral and referenda law, defamation and legal aid

B1.9 Public authority – the Act is intended to have wide application across the public sector at national, regional, and local level. In view of the large number of bodies and offices intended to fall within the scope of the Act it is not feasible to list each body individual. Public authorities are, therefore, designated in one of the following ways:

- on the face of the Act (in Schedule 1), using generic descriptions where appropriate which specifies the principal authorities in national and local government, together with the principal public authorities relating to the armed forces, national health service, education, the police and other public bodies and offices
- by order under section 4(1) adding to Schedule 1 any body or the holder of any office that satisfies certain specified conditions
- by order under section 5 adding any person that that satisfies certain conditions and that appears to the Secretary of State to exercise functions of a public nature or is providing under a contract with a public authority any service whose provision is a function of the authority; or
- by reference to the definition of a publicly-owned company in section 6

B1.10 Publication Scheme – a scheme that specifies the classes of information an authority publishes or intends to publish. It includes the manner of publication and whether the information is available to the public free of charge or on payment.

B1.11 Qualified exemption – information to which a qualified exemption applies requires a public authority to take a test of prejudice or to demonstrate that the balance of public interest is in favour of non-disclosure. Reference to qualified exemptions can be found in Part 1, section 2 and Part II of the Act.

VERSION	AUTHOR & DATE	COMMENTS
1	Andrea Gabbitas Aug 21	Replaced previous FOI policy and Information and Records Management Policy