



# HM Inspectorate of Prisons

## Records Retention and Disposal Schedule

### Introduction

1. This schedule applies to the records that are created and managed by HMI Prisons staff, or any agency or organisation acting on its behalf.
2. This policy covers information created, received or held by HMI Prisons in order to carry out their business or support functions in relation to the inspection of places of detention. This policy covers:
  - Personal information: any information that relates to an identified or identifiable individual, as described by the UK General Data Protection Regulation (GDPR).
  - Public record: any information which need to be selected for permanent preservation, as required by the Public Records Act 1958.
  - All other information: any information which does not contain personal information and does not need to be kept for public record.
3. All these types of information can be gathered through HMI Prisons' routine inspections, thematic inspections or as part of other business or support functions. This policy covers all of these.
4. If a Freedom of Information Act 2000 request or a subject access request under the General Data Protection Regulation and Data Protection Act 2018 is received, a hold must be put on the destruction of relevant records until 20 working days after the request is resolved.
5. HMI Prisons comply with independent and public inquiries, which can sometimes mean straying from this Retention policy, for instance:
  - i. HMI Prisons keep information of interest to the Covid-19 inquiry, examining the UK's response to and impact of the Covid-19 pandemic. More information can be found on the UK Covid-19 inquiry website: [2022-07-28 Protocol for the Transfer and Handling of Documents \(covid19.public-inquiry.uk\)](https://www.covid19.public-inquiry.uk).

- ii. HMI Prisons keep information about Brook House Immigration Removal Centre relevant to the public inquiry into the mistreatment of individuals who were detained there in 2017.
- iii. HMI Prisons kept information about child sexual abuse, child abuse, child protection, safeguarding and related subject as was required for the Independent Inquiry into Child Sexual Abuse (IICSA). More information can be found on the IICSA website: [The Independent Inquiry into Child Sexual Abuse | IICSA Independent Inquiry into Child Sexual Abuse](#). The moratorium to keep such records was lifted in November 2022. Work is underway in HMI Prisons to identify records which need to be kept in line with the IICSA recommendation to retain records known to relate to child sexual abuse for 75 years. All other records will be destroyed in line with the schedule below.

## The schedule

No.	Record type	Retention and disposition
1a.	<p><b>Inspection evidence</b></p> <p>Paper or electronic copies of pre-inspection and inspection evidence, including, but not limited to, evidence packs, inspector notes and documentation. These may contain personal information</p>	<p><b>Paper copies</b> should be destroyed once the inspection report has been published</p> <p><b>Electronic copies</b> should be kept for <b>six years</b> or until the next inspection report of that establishment has been published<sup>1</sup>, whichever is longer</p>
1b.	<p><b>Inspection reports</b></p> <p>Paper or electronic copies of documents supporting the compilation and publication of inspection reports</p>	<p>Keep for <b>six years</b> or until the next inspection report of that establishment has been published<sup>1</sup>, whichever is longer</p>
1c.	<p><b>Inspection Surveys</b></p> <ul style="list-style-type: none"> <li>○ <b>paper copies</b> of completed questionnaires</li> <li>○ <b>electronic copies</b> of completed questionnaires</li> <li>○ <b>aggregated survey data</b> and analysis used for inspection evidence</li> <li>○ <b>record-level database</b></li> </ul>	<p><b>Paper copies</b> of completed questionnaires should be destroyed once the inspection report has been published</p> <p><b>Electronic copies</b> of questionnaires should be destroyed <b>one year</b> after publication of the inspection report</p> <p><b>Aggregated survey data</b> should be kept for <b>six years</b> or until the next inspection report of the establishment has been published<sup>1</sup>, whichever is longer. Any <u>personal information</u> will be destroyed <b>one year</b> after publication of the inspection report</p> <p><b>Record-level database</b> is kept <b>indefinitely</b> to allow for analysis of long-term trends</p>

<sup>1</sup> In the absence of another inspection of that establishment, i.e. because the establishment has been closed, documentation will be kept for six years.

No.	Record type	Retention and disposition
2a.	<p><b>Thematic inspection evidence</b></p> <p>Paper or electronic copies of pre-inspection and thematic evidence, including, but not limited to, evidence packs, inspector notes and documentation. These may contain personal information</p>	<p><b>Paper copies</b> should be destroyed once the thematic report has been published</p> <p>Else, keep for <b>three years</b> from publication of the thematic report and then review</p>
2b.	<p><b>Thematic inspection reports</b></p> <p>Paper or electronic copies of documents supporting the compilation and publication of thematic reports</p>	<p>Keep for <b>three years</b> and then review</p>
2c.	<p><b>Thematic inspection surveys (including interviews and focus groups)</b></p> <ul style="list-style-type: none"> <li>○ <b>paper copies</b> of completed questionnaires or interviews</li> <li>○ <b>electronic copies</b> of completed questionnaires or interviews</li> <li>○ <b>aggregated survey data</b> and analysis used for thematic evidence</li> <li>○ <b>record-level database</b></li> </ul>	<p><b>Paper copies</b> of completed questionnaires should be destroyed once the thematic report has been published</p> <p><b>Electronic copies</b> of questionnaires should be destroyed <b>one year</b> after publication of the thematic report</p> <p><b>Aggregated survey data</b> should be kept for <b>three years</b> and then reviewed. Any <u>personal information</u> will be destroyed <b>one year</b> after publication of the thematic report</p> <p><b>Record-level database</b> is <b>kept indefinitely</b> to allow for potential analysis of long-term trends</p>
3.	<p>Documents supporting the compilation of annual <b>inspection programme and allocations</b></p>	<p>Keep drafts, detailed plans and allocations for <b>one year</b> after the end of the period</p>
4.	<p><b>Intelligence</b> not linked to an inspection gathered through, but not limited to:</p> <ul style="list-style-type: none"> <li>- Management information</li> <li>- Correspondence (including through the General Enquiries Line)</li> <li>- Press cuttings</li> </ul>	<p>Keep for <b>three years</b> and then review</p> <p>Where management information are provided to HMI Prisons by other organisations, these will be <b>kept in line with the agreed retention timeframes</b> with that organisation</p>
5.	<p>Documents supporting the compilation of <b>Expectations</b></p>	<p>Keep drafts and other supporting documentation for <b>one year</b> and then review</p>

No.	Record type	Retention and disposition
6.	Documents supporting the preparation of <b>corporate reports</b> including, but not limited to, annual reports, business plans	Keep for <b>three years</b> and then review
7.	<b>Consultations</b> – those carried out by HMI Prisons and those HMI Prisons responds to	Keep for <b>three years</b> and then review
8.	Chief Inspector and Deputy Chief Inspector <b>correspondence</b>	Keep for <b>three years</b> and then review
9.	Minutes and other papers relating to <b>internal meetings</b> including, but not limited to: <ul style="list-style-type: none"> <li>- Governance meetings</li> <li>- Equality &amp; Diversity Advisory Group meetings</li> <li>- Team meetings</li> </ul>	Keep for <b>five years</b> and then review
10.	<b>HR</b> information (held by line managers)	Manage in line with the <i>What to keep</i> <sup>2</sup> guidance
11.	<b>Finance</b> information	Keep for <b>seven years</b>
12.	<b>Non-corporate</b> communication channels	If in exceptional circumstances, information is held on personal devices, personal email accounts or non-corporate systems, transfer it to corporate systems <b>as soon as possible</b> , and delete the information from its original location
13.	Submissions, briefings for <b>ministers</b> and policy team, other correspondence with Private Office, Chief Executives' Offices, etc including Ministerial responses to submissions and other documents	Keep for <b>seven years</b> and then destroy
14.	Lists of <b>key contacts</b> , including stakeholder and media contacts lists	Keep all current and relevant information. Out-of-date and no longer relevant information will be destroyed <b>as soon as possible</b> .

<sup>2</sup> *What to keep* is available at: <https://www.gov.uk/government/publications/record-retention-and-disposition-schedules>

No.	Record type	Retention and disposition
15.	All <b>other</b> types of records not specified above	Keep for <b>three years</b> and then review

Published reports and other documents are made available online on the HMI Prisons website or the HMI Prisons archive.