

# IOPC appraisal policy and methodology

Owner: Corporate Records Management

Review: Yearly



## Purpose of the policy

This policy is about how the Independent Office for Police Conduct (IOPC) will meet its statutory obligation as a public record body to select records for permanent preservation under the *Public Records Act 1958* (PRA). Selection will happen by the appraisal process and methodology in this policy. Selected records will be subject to a sensitivity review before transfer to The National Archives (TNA) or an approved place of deposit as set out in the *Public Records Act*.

The IOPC has a statutory function to oversee the police complaints system in England and Wales. The purpose of the IOPC is to uphold public confidence in policing.

The IOPC became subject to the *Public Records Act* in 2018 when it was formed. The *Public Records Act* also applies to records of any format generated under the Independent Police Complaints Commission (IPCC), which was operational from 2004; Police Complaints Authority (PCA) from 1985; and Police Complaints Board (PCB) from 1977.

Responsibilities of public record bodies under the *Public Records Act*:

- Selection of records for permanent preservation, guided and supervised by the Keeper of Public Records.
- The safekeeping of records.
- Transfer of selected records to TNA or an approved place of deposit by the due date. This applies unless they need to be retained. In this case, the approval of the Secretary of State for Digital, Culture, Media and Sport must be obtained.
- Carry out formal applications for retention and closure through TNA. These are reviewed by The Advisory Council on National Archives and Records.
- Disposal of records not selected for preservation by destruction or presentation to another institution.

## History of the IOPC

The IOPC replaced the IPCC on 8 January 2018. The IOPC was created from the *Policing and Crime Act 2017*. It has a legal duty to oversee the whole of the police complaints system and it aims to transform the way complaints against the police are handled. Unlike the IPCC, it does not have a commission structure. The legal powers of the IOPC were also increased to start its own investigations without referrals from police forces.

Previous bodies which the IOPC replaced:

- The Police Complaints Board (PCB), created by the *Police (Complaints) Act 1976*. Established 1 June 1977.
- The Police Complaints Authority (PCA), established 29 April 1985 under section 83 of the *Police and Criminal Evidence Act 1984*.

- The PCA was replaced by the Independent Police Complaints Commission (IPCC) from 1 April 2004 (under the *Police Reform Act 2002*).
- The IPCC and the PCA were separate legal bodies, although there was a significant transfer of assets, staff and ongoing investigations. The IPCC did not inherit any investigations from the PCA.

### Selection decisions

Our functions considered for permanent preservation, in line with [The National Archives' Records Collection Policy](#) and our remit of overseeing the police complaints system, are:

Strategy management	Systematic approaches to achieve objectives in line with organisational values and priorities.
Compliance management	Making sure the IOPC meets the requirements of legislation, regulations, codes, standards and accepted practices.
Stakeholder management	Maintaining relationships with those interested or concerned with the IOPC.
Research and development	Developing measures relating to IOPC services, understanding process performance, and discovering solutions to problems from experience to improve our processes and guidance with systematic activity and applied research.
Regulatory functions	Making sure IOPC operations and monitoring of conduct, complaints and investigations takes place in an independent and fair manner. Therefore, achieving real impact for complainants, stakeholders and the public.

These functions will produce records that meet the following criteria:

- Give a complete policy set of the IOPC's main decision-making body (if not already captured on the website/when physical reports are available).
- Led to changes in primary and secondary legislation.

- Led to changes in high-level structure/policies of the organisation.
- Related to investigations that caused, or is likely to cause, controversy.
- Related to investigations which gained significant national or international media attention.
- Connected to public inquiries or inquests, provided they are not duplicates of original records that exist elsewhere/held by another organisation.
- Related (but not duplicated) material has been identified as having archival value by archivists elsewhere.
- Otherwise in the public interest that highlights the IOPC's decision making and accountability, including:
  - Investigations that changed national policing
  - Cases that identified significant public confidence in the police
  - Cases that identified significant lessons learnt within the IOPC
  - Matters related to extraordinary measures

Records within these functions will not usually be considered for permanent preservation where:

- The IOPC establishes it is a duplicate copy.
- They are published in full without redaction and are already in the public domain (including on the IOPC website).
- The IOPC establishes that is not the lead department and the records have already been captured.

There may be circumstances where records in these categories are considered for permanent preservation. For example, high-profile cases where the department is not the lead but has additional records of archival value the lead department does not have.

IOPC functions that will usually not be required for permanent preservation:

High level information about finance management, information and communications technology (ICT), people management, estates and procurement management will be published in annual reports. This will be on the IOPC website. The majority of records in these functions will not be required for permanent preservation.

#### **Previous selection decisions:**

- annual reports and review reports of the PCA
- annual reports and review reports of the PCB
- TNA, through the [UK Government Web Archive](#), has captured IPCC websites from 2006

#### **IOPC website**

[IOPC web material](#) has been captured since February 2018. It is currently being captured bi-annually in April and October. The IOPC will alert TNA if records need to be captured more frequently, or if the IOPC generates additional social media content or websites that require capturing.

There could also be additional partial captures not subject to the same quality assurance process as the bi-annual full captures.

### **Social media channels**

TNA is also capturing the [IOPC's twitter feed](#).