

Social Care

Retention Schedule

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General: Adult & Children Services

Asylum Seekers

Retain according to the appropriate service user need category: looked after child, child-in-need etc.

Complaints & Representations

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
Management summary records		Permanently	After administrative use ends	<ul style="list-style-type: none">• RMS: common practice• Transfer to long term storage
Individual C&R records		6 years	After administrative use ends	<ul style="list-style-type: none">• Copy to be joined to service user record at the appropriate time in the investigation process

Data Protection – Subject Access Request

These can arise on closed cases and will open them and cancel any prior retention timescale records. Once the request has been completed and no further action is required (minimum 21 days after full and final response made), record must be retained for a minimum of 6 years (longer if other timescales apply). Records of the disclosure should be kept for 3 years after full disclosure or 10 years after redacted or part refused.

Diaries

1. **Containing information about service users:** entries in the diary should be placed on the service user case record, which will be destroyed with the case record at the appropriate time. This should be done routinely, day to day. Destroy paper diaries as soon as they are finished with after information has been transferred to the service user case file. As part of the leavers process managers should ensure information in paper diaries is transferred to service user case file before the worker leaves. Electronic diaries will be effectively destroyed once the account is deleted and cannot be recovered.
2. **Containing information about the worker:** entries in the diary should be placed on the supervision notes concerning the worker. This should be done routinely, day to day. Destroy paper diaries as soon as they are finished with after information has been transferred to supervision file. As part of the leavers process managers should ensure information in paper diaries is transferred to the staff supervision file before the worker leaves. Electronic diaries will be effectively destroyed once the account is deleted and cannot be recovered.

FOI Access Request

Once the request has been completed and no further action is required (minimum 21 days after full and final response made), record must be retained for a minimum of 2 years (longer if other timescales apply).

Emergency Duty Team (EDT)

1. Summary information: lists, reports, minutes: retain 3 years then destroy
2. Individual service user records: copy to appropriate community team at the time; EDT to keep for 3 years then destroy.

Finance

Timescales for finance-related records are detailed in Warwickshire County Council's Constitution, appendix F, which can be found on the Warwickshire website:

Supervision Notes

3. Concerning the service user: place on service user case record. Will be destroyed with the case record at the appropriate time.
4. Concerning the worker: working with children, retain 25 years after employment terminated; working with adults, retain 10 years.

Transition / Adult & Children Services both involved

1. Important to link relevant information together: transition from Children to Adult Services – link Child records to Adult records.
2. Retain records for the longer timescale.
3. If service user has different roles (e.g. service user in one context, carer/provider for another, it is appropriate to extract the records for one role and destroy them in line with the appropriate timescale, unless there is operational justification to keep them together.

Transport

Keep for 3 years after lists no longer current then destroy.

Adult Services

Joint Records with Health

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
Mental Illness (Mental Health Act 1983: sectioned)		20 yrs Then 10 yrs OR 8 yrs	From date doctor confirms no further action needed. In summary format. OR After DoD if already closed NB: Joint mental health and social care trust: record kept in line with longer retention periods.	<ul style="list-style-type: none"> DH 'Records Management: NHS Code of Practice' 2006 – Annex D1 Health Records Retention Schedule
Mental Illness (Mental Health Act 1983: <u>not</u> sectioned)		10 yrs OR 2 yrs	After date of last contact /DoD if person receiving service OR After DoD if already closed NB: Joint mental health and social care trust: record kept in line with longer retention periods.	<ul style="list-style-type: none"> DH 'Records Management: NHS Code of Practice' 2006 – Annex D1 Health Records Retention Schedule

Social Care

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
Miscellaneous Enquiries: Initial Contacts (not taken any further)		1 yr	After closure	
Disabled Parking Badges <u>only</u>		2 yrs	After registration or entitlement lapses.	
Initial Assessments (not taken any further)		2 yrs OR 6 yrs	From DoD OR From closure <i>whichever is the earlier</i>	
Adult Service Users (excl. Safeguarding)		2 yrs OR 6 yrs	From DoD OR From date service provision ended <i>whichever is the earlier</i>	
Carers Records		2 yrs OR 6 yrs	In line with the associated adult service user records	
Safeguarding: People who have been subject of a Safeguarding investigation		2 yrs OR 8 yrs	From DoD OR From date service provision ended <i>whichever is the earlier</i>	

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
People deemed to present a risk to vulnerable adults		75 yrs OR 6 yrs OR 2 yrs	After date risk assessed OR After risk assessed to no longer exist OR After DoD <i>whichever is the earlier</i>	

Domiciliary Care

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
Service user records		• Return to main service user record when closed		
Summary records	DoH DP Guidance	3 yrs	After date of last entry	<ul style="list-style-type: none"> • Records, logs, registers, inspections, complaints • Duty rosters • Staff & residents' meeting minutes

Day Centres

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
Service user records		• Return to main service user record when closed		
Summary records	Registered Care Home reg's 1984, Reg 6	25 yrs	After date of last entry Then offer summary to County Archivist	<ul style="list-style-type: none"> • Records, logs, inspections, complaints • Duty rosters • Staff & residents' meeting minutes

Nursing/Residential Homes

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
Care & Nursing Homes (Registered) Case files for individual service users (including medical records)	Care Homes Regulations, 2001 sec 17 & Mental Nursing Homes Reg's 1984; Reg's 7(6) & (10)	1) 3 yrs OR 2) 6 yrs	1) After last entry 2) After person leaves or DoD if under MH Act 1983	
Procedures and guides	Care Homes Regulations, 2001 sec 17	25yrs OR 3yrs	Then offer summary to County Records Office after being superceded	<ul style="list-style-type: none"> • Statement of purpose • Service users guide • Fire alarm procedures • Accident and missing person procedures • staff & residents' meeting minutes
Incident records	National Archives (various)	5 yrs	From last action	<ul style="list-style-type: none"> • Accident records • Any incident detrimental to the health of welfare of a service user including outbreak of infectious diseases. • Records of any fires or occasions when the firm alarm was operated (except tests) • Records of theft or burglary

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
Accounting / financial records (e.g. delivery notes)	See WCC Constitution Part 3 Section 6.5 in introduction	Various		<ul style="list-style-type: none"> Audit requirements
Records of complaints received and actions taken	Directorate procedure	6 yrs	After last action	
Records of time taken by staff to answer client buzzers (where a record is produced) Staff handover sheets	Service procedure	1 yr	From date of entry	<ul style="list-style-type: none"> Procedural updates to staff also minuted.
Other records (see comments column)	Care Homes Regulations, 2001 sec 17	3 yrs		<ul style="list-style-type: none"> Reports made under regulation 26(4)(c) reviewing the quality of care Duty rosters of workers, and alterations (weekly / monthly) Records of food provided for service users including special diets Records of fire drills, tests of equipment and any action taken to remedy defects Records of visitors

Children's Services

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
Ineligible Initial Contacts / Initial Assessments (not taken any further)		2 yrs OR 6 yrs	From DoD OR From date service provision ended <i>whichever is the earlier</i>	
Adoption: Children adopted before 30th December 2005	Adoption Agencies Reg's 1983 S14(3)	75 yrs	From date of adoption order OR From date adoption allowances cease OR On expiry of time for appeal post-Court hearing where the Dept has acted as, or on behalf of, a GaL/RO <i>whichever is the later</i>	<ul style="list-style-type: none"> Records stored by Adoption & Fostering Services
Adoption: Children adopted <u>on or after</u> 30 th December 2005	Disclosure of Adoption Information (Post Commencement Adoptions) Regulations 2005	100 yrs	As above	<ul style="list-style-type: none"> Records stored by Adoption & Fostering Services
Adoption: Children adopted but community team involved for post-adoption support	As above, depending on when adopted	75 or 100 yrs	When community team's support work completed	<ul style="list-style-type: none"> Transfer/link to main adoption record Could retain all for 100 yrs as simpler administratively?

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
Adoption: Support to adopted adults, birth parents/family	As above, depending on when adopted	75 or 100 yrs	When community team's support work completed	<ul style="list-style-type: none"> Transfer/link to main adoption record
Adopters: Agency and step parent	Adoption Agencies Reg's 2005 + Disclosure of Adoption Information Regulations 2005	100 yrs	As above	
Adopters: Not proceeded with	common practice	25 yrs	From date application withdrawn or refused	
Adoption Allowance File	Adoption Allowances Reg's 1991	75 yrs	From start of allowance	<ul style="list-style-type: none"> When closed, add to main adopters' file
Child Witness Video Recording	Code of Practice for Video Recorded Interviews with Child Witnesses for Criminal Proceedings 1991 (§ 3.14). Criminal Justice Act 1991	➔	As necessary	<ul style="list-style-type: none"> Must be kept for as long as needed for trial/appeal purposes; decision to destroy must be jointly taken by Dir CYP&F & senior police officer concerned
Children In Need: Including child with disabilities		Till age 21 yrs OR 2 yrs OR 6 yrs	Of youngest child in family OR From child's DoD or date child leaves county OR From date service provision ends <i>whichever is the earlier</i>	<ul style="list-style-type: none"> If children with disabilities go on to receive adult services, their child records are part of their adult services record and should be preserved in accordance with adult services timescales: 30yrs from Date of Birth of service user for SEN files.

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
Child Protection: CPU/IRO records of individual children		5 yrs	After CP plan ends or decision not to have CP plan	<ul style="list-style-type: none"> Destroy duplicate records. Attach unique records to main child record
Child Protection: Child subject of CP plan		35 yrs	After closure	
Child Protection: CP investigation/core assessment/CPCC but not subject of CP plan		35 yrs	After closure	
Child Protection: CP enquiries re. whether there is a CP plan/advice not leading to CPCC		Till age 21 yrs OR 2 yrs OR 6 yrs	Of youngest child in family OR from child's DoD or date child leaves county OR From date service provision ends <i>whichever is the earlier</i>	
Child Protection: people deemed to present a risk to children		75 yrs OR 6 yrs OR 2 yrs	From date risk assessed OR After risk assessed to no longer exist OR After DoD	

Children Looked After

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
Children Looked After by WCC, <u>or</u> OLAs <u>and</u> supervised by WCC	Arrangements for Placement of Children (General) Regulations 1991, Reg 10(s)	75 yrs OR 15 yrs	From child's DOB OR From DoD if child dies before reaching 18 yrs <i>whichever is the earlier</i>	
Children Looked After by OLAs, notified to WCC, but not supervised by WCC	Children Act 1989, Arrangements for Placement of children Reg's 1991, Reg 10(s)	23 yrs OR 5 yrs	From DoB OR From DoD if child dies before reaching 18 yrs <i>whichever is the earlier</i>	
Children Looked After by OLAs, notified to WCC, not supervised by WCC, but Warks give after care service	Children (Leaving Care) Act 2000. Children Act 1989, Arrangements for Placement of children Reg's 1991, Reg 10(s)	75 yrs OR 15 yrs	From DoB From DoD, if child dies before 18 yrs <i>whichever is the earlier</i>	<ul style="list-style-type: none"> • Can be converted from paper record 5 yrs after closure
Children Looked After (records with foster carers, rescare, placement agencies)	Arrangements for Placement of Children (General) Regulations 1991	75 yrs OR 15 yrs	From child's DOB OR From DoD if child dies before reaching 18 yrs <i>whichever is the earlier</i>	<ul style="list-style-type: none"> • Reg's require vol orgs to do same re every child placed by them
Children Looked After: registers/summary information		70 yrs	After administrative use ends then offer to County Records.	

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
Children Looked After: IRO records of individual children		3 yrs	After child ceases to be looked after	<ul style="list-style-type: none"> Destroy duplicate records. Attach unique records to main child record
Children on Supervision Orders: <u>never</u> Looked After		21 yrs OR 2 yrs	From child's DOB OR From DoD if child dies before reaching 18 yrs <i>whichever is the earlier</i>	<ul style="list-style-type: none"> SOs, through-care, post custody supervision
Children: direct work records	Depends on whether C-in-N, CP or CLA: see above	<ul style="list-style-type: none"> When direct work ends, transfer/link to main child record 		
Custodianship & Residence Orders: <u>never</u> Looked After		18 yrs OR 2 yrs	From DoB OR After last contact, whichever is the later	
Children Privately Fostered	Guidance & Reg's re Children Act 1989, Vol 8, Private Fostering & Misc. Part 1.10.5 ...good practice to use same as for LA Placed children.	75 yrs OR 15 yrs	From child's DOB OR From DoD if child dies before reaching 18 yrs <i>whichever is the earlier</i>	<ul style="list-style-type: none"> Also carers' records incorporated into child's record when placement ended
Common Assessment Framework (children subject to assessment)		25 years	From child's DoB	

Record Type	Statutory Source	Keep For	Operational Life or Storage Period Ceases	Notes
Foster Carers (approved) Plus Supportive Lodgings		25 yrs OR 2 yrs	From date approval ended or OR after DoD if earlier	
Foster Carers (unapproved)	Fostering Services Regulations 2002	3 yrs OR 2 yrs OR 75 yrs	From refusal/withdrawal OR After DoD if earlier If concerns exist	
Foster Carer: initial enquiries taken no further	Fostering Services Regulations 2002	3 yrs OR 2 yrs	From date of last contact OR After DoD if earlier	
Missing & Found OLA Persons		3 yrs OR Immediately	After notification received OR After OLA notify us missing person found	
Parent Support Advisors Files		25 years	From child's DoB	
Risky Adult Checks + OFSTED Checks		1 yr	After check carried out	