

## Retention schedule for social care records

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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	STAT. SOURCE	KEEP FOR	OPERATIONAL LIFE OR STORAGE PERIOD CEASES	NOTES
Management summary records		Permanently	After administrative use ends	<ul style="list-style-type: none"><li>• RMS: common practice</li><li>• Transfer to long term storage</li></ul>
Individual C&R records		6 years	After administrative use ends	<ul style="list-style-type: none"><li>• Copy to be joined to service user record at the appropriate time in the investigation process</li></ul>

### DATA PROTECTION / FOI 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.

### 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 web page:

[http://www.warwickshire.gov.uk/Web/Corporate/pages.nsf/Links/EB6B5039AEB90FDE80256ABD00348647/\\$file/WCC+Constitution++master+08.11.06+\(1.96+MB\).pdf](http://www.warwickshire.gov.uk/Web/Corporate/pages.nsf/Links/EB6B5039AEB90FDE80256ABD00348647/$file/WCC+Constitution++master+08.11.06+(1.96+MB).pdf)

### SUPERVISION NOTES:

1. Concerning the service user: place on service user case record. Will be destroyed with the case record at the appropriate time.

2. 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	STAT. SOURCE	KEEP FOR	OPERATIONAL LIFE OR STORAGE PERIOD CEASES	NOTES
<b>MENTAL ILLNESS (MENTAL HEALTH ACT 1983: sectioned</b>		20 yrs  then 10 yrs  <b>OR</b> 8 yrs	from date doctor confirms no further action needed.  In summary format.  <b>OR</b> after DoD if already closed <b>NB:</b> Joint mental health and social care trust: record kept in line with longer retention periods.	DH 'Records Management: NHS Code of Practice' 2006 – Annex D1 Health Records Retention Schedule
<b>MENTAL ILLNESS (MENTAL HEALTH ACT 1983: <u>not</u> sectioned</b>		10 yrs  <b>OR</b> 2 yrs	after date of last contact /DoD if person receiving service <b>OR</b> after DoD if already closed <b>NB:</b> Joint mental health and social care trust: record kept in line with longer retention periods.	DH 'Records Management: NHS Code of Practice' 2006 – Annex D1 Health Records Retention Schedule

**SOCIAL CARE:**

RECORD TYPE	STAT. 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 only		2 yrs	after registration or entitlement lapses.	
INITIAL ASSESSMENTS (not taken any further)		2 yrs OR 6 yrs	from DoD from closure whichever is the earlier	
ADULT SERVICE USERS (excl. POVA)		2 yrs OR 6 yrs	from DoD from date service provision ended whichever is the earlier	
CARERS RECORDS		2 yrs OR 6 yrs	In line with the associated adult service user record.	
POVA: People who have been subject of POVA investigation		2 yrs OR 8 yrs	from DoD from date service provision ended whichever is the earlier	

RECORD TYPE	STAT. 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  after risk assessed to no longer exist  after DoD  whichever is the earlier	

### IN-HOUSE PROVIDER SERVICES:

RECORD TYPE	STAT. SOURCE	KEEP FOR	OPERATIONAL LIFE OR STORAGE PERIOD CEASES	NOTES
<b>DOMICILIARY CARE: service user records</b>				<ul style="list-style-type: none"> <li>• return to main service user record when closed</li> </ul>
<b>DOMICILIARY CARE: summary records</b>	<b>DoH DP Guidance</b>	3 yrs	after date of last entry	<ul style="list-style-type: none"> <li>• records, logs, registers, inspections, complaints</li> <li>• duty rosters</li> <li>• staff &amp; residents' meeting minutes</li> </ul>
<b>DAY CENTRES: service user records</b>				<ul style="list-style-type: none"> <li>• return to main service user record when closed</li> </ul>
<b>DAY CENTRES: summary records</b>	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"> <li>• records, logs, inspections, complaints</li> <li>• duty rosters</li> <li>• staff &amp; residents' meeting minutes</li> </ul>

**RESIDENTIAL HOMES:**

RECORD TYPE	STAT. SOURCE	KEEP FOR	OPERATIONAL LIFE OR STORAGE PERIOD CEASES	NOTES
<b>NURSING HOMES (REGISTERED)</b>	Nursing Homes & Mental Nursing Homes Reg's 1984; Reg's 7(6) & (10)	1) 1 yr <b>OR</b> 2) 6 yrs	1) after person leaves/dies 2) if under MH Act 1983	
<b>RESIDENTIAL HOMES (REGISTERED) summary records</b>	Registered Care Home Reg's 2001 - Sch 4	25 yrs	after date of last entry  Then offer summary to County Archivist	<ul style="list-style-type: none"> <li>• records, logs, registers, inspections, complaints</li> <li>• duty rosters</li> <li>• staff &amp; residents' meeting minutes</li> </ul>

## CHILDREN'S SERVICES:

RECORD TYPE	STAT. SOURCE	KEEP FOR	OPERATIONAL LIFE OR STORAGE PERIOD CEASES	NOTES
<b>INELIGIBLE INITIAL CONTACTS/INITIAL ASSESSMENTS (not taken any further)</b>		2 yrs <b>OR</b> 6 yrs	from DoD <b>OR</b> from date service provision ended  whichever is the earlier	
<b>ADOPTION: children adopted <u>before</u> 30<sup>th</sup> December 2005</b>	Adoption Agencies Reg's 1983 S14(3)	75 yrs	from date of adoption order <b>OR</b> from date adoption allowances cease <b>OR</b> on expiry of time for appeal post-Court hearing where the Dept has acted as, or on behalf of, a GaL/RO  whichever is the later	<ul style="list-style-type: none"> <li>records stored by Adoption &amp; Fostering Services</li> </ul>
<b>ADOPTION: children adopted <u>on or after</u> 30<sup>th</sup> December 2005</b>	Disclosure of Adoption Information (Post Commencement Adoptions) Regulations 2005	100 yrs	as above	<ul style="list-style-type: none"> <li>records stored by Adoption &amp; Fostering Services</li> </ul>
<b>ADOPTION: children adopted but community team involved for post-adoption support</b>	As above, depending on when adopted	75 or 100 yrs	When community team's support work completed	<ul style="list-style-type: none"> <li>Transfer/link to main adoption record</li> <li>Could retain all for 100 yrs as simpler administratively?</li> </ul>

RECORD TYPE	STAT. SOURCE	KEEP FOR	OPERATIONAL LIFE OR STORAGE PERIOD CEASES	NOTES
<b>ADOPTION: support to adopted adults, birth parents/family</b>	As above, depending on when adopted	75 or 100 yrs	When community team's support work completed	<ul style="list-style-type: none"> <li>• Transfer/link to main adoption record</li> <li>• Could retain all for 100 yrs as simpler administratively?</li> </ul>
<b>ADOPTERS: agency and step parent</b>	Adoption Agencies Reg's 2005 + Disclosure of Adoption Information Regulations 2005	100 yrs	as above	
<b>ADOPTERS: not proceeded with</b>	common practice	25 yrs	from date application withdrawn or refused	
<b>ADOPTION ALLOWANCE FILE</b>	Adoption Allowances Reg's 1991	75 yrs	from start of allowance	when closed, add to main adopters' file
<b>CHILD WITNESS VIDEO RECORDING; CRIMINAL JUSTICE ACT 1991</b>	Code of Practice for Video Recorded Interviews with Child Witnesses for Criminal Proceedings 1991 (§ 3.14)	→	as necessary	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
<b>CHILDREN IN NEED including:</b> • <b>child with disabilities</b>		till age 21 yrs <b>OR</b> 2 yrs  <b>OR</b> 6 yrs	of youngest child in family  <b>OR</b> from child's DoD or date child leaves county  <b>OR</b> from date service provision ends  whichever is the earlier	<ul style="list-style-type: none"> <li>• 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: RMS = 35 yrs from closed for SEN files</li> </ul>

RECORD TYPE	STAT. SOURCE	KEEP FOR	OPERATIONAL LIFE OR STORAGE PERIOD CEASES	NOTES
<b>CHILD PROTECTION: Protection Plan/summary information</b>		70 yrs	After administrative use ends	
<b>CHILD PROTECTION: CPU/IRO records of individual children</b>		5 yrs	after CP plan ends or decision not to have CP plan	<ul style="list-style-type: none"> <li>• destroy duplicate records</li> <li>• attach unique records to main child record</li> </ul>
<b>CHILD PROTECTION: Child subject of CP plan</b>		35 yrs	after closure	
<b>CHILD PROTECTION: CP investigation/core assessment/CPCC but not subject of CP plan</b>		35 yrs	after closure	
<b>CHILD PROTECTION: CP enquiries re. whether there is a CP plan/advice not leading to CPCC</b>		till age 21 yrs <b>OR</b> 2 yrs  <b>OR</b> 6 yrs	of youngest child in family  <b>OR</b> from child's DoD or date child leaves county  <b>OR</b> from date service provision ends  whichever is the earlier	
<b>CHILD PROTECTION: people deemed to present a risk to children</b>		75 yrs <b>OR</b> 6 yrs  <b>OR</b> 2 yrs	From date risk assessed  <b>OR</b> after risk assessed to no longer exist  <b>OR</b> after DoD	

RECORD TYPE	STAT. SOURCE	KEEP FOR	OPERATIONAL LIFE OR STORAGE PERIOD CEASES	NOTES
<b>CHILDREN LOOKED AFTER by WCC, or CHILDREN LOOKED AFTER by OLAs and supervised by WCC</b>	Arrangements for Placement of Children (General) Regulations 1991, Reg 10(s)	75 yrs <b>OR</b> 15 yrs	from child's DOB <b>OR</b> from DoD if child dies before reaching 18 yrs  whichever is the earlier	
<b>CHILDREN LOOKED AFTER by OLAs, notified to WCC, but not supervised by Warwickshire County Council</b>	Children Act 1989, Arrangements for Placement of children Reg's 1991, Reg 10(s)	23 yrs <b>OR</b> 5 yrs	from DoB <b>OR</b> from DoD if child dies before reaching 18 yrs  whichever is the earlier	
<b>CHILDREN LOOKED AFTER by OLAs, notified to WCC, not supervised by WCC, but Warks give after care service</b>	Children (Leaving Care) Act 2000. Children Act 1989, Arrangements for Placement of children Reg's 1991, Reg 10(s)	75 yrs <b>OR</b> 15 yrs	from DoB  from DoD, if child dies before 18 yrs  whichever is the earlier	<ul style="list-style-type: none"> <li>• can be converted from paper record 5 yrs after closure</li> </ul>
<b>CHILDREN LOOKED AFTER (records with foster carers, rescare, placement agencies)</b>	Arrangements for Placement of Children (General) Regulations 1991	75 yrs <b>OR</b> 15 yrs	from child's DOB <b>OR</b> from DoD if child dies before reaching 18 yrs  whichever is the earlier	<ul style="list-style-type: none"> <li>• Reg's require vol orgs to do same re every child placed by them</li> </ul>
<b>CHILDREN LOOKED AFTER: Registers/summary information</b>		70 yrs	After administrative use ends then offer to County Records.	
<b>CHILDREN LOOKED AFTER: IRO records of individual children</b>		3 yrs	after child ceases to be looked after	<ul style="list-style-type: none"> <li>• destroy duplicate records</li> <li>• attach unique records to main child record</li> </ul>

RECORD TYPE	STAT. SOURCE	KEEP FOR	OPERATIONAL LIFE OR STORAGE PERIOD CEASES	NOTES
<b>CHILDREN ON SUPERVISION ORDERS:</b> <b><u>never</u> Looked After</b>		21 yrs <b>OR</b> 2 yrs	from child's DOB <b>OR</b> from DoD if child dies before reaching 18 yrs  whichever is the earlier	• SOs, through-care, post custody supervision
<b>CHILDREN: direct work records</b>	Depends on whether C-in-N, CP or CLA: see above	When direct work ends, transfer/link to main child record		
<b>CUSTODIANSHIP &amp; RESIDENCE ORDERS:</b> <b><u>never</u> Looked After</b>		18 yrs <b>OR</b> 2 yrs	from DoB <b>OR</b> after last contact, whichever is the later	
<b>CHILDREN PRIVATELY FOSTERED</b>	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 <b>OR</b> 15 yrs	from child's DOB <b>OR</b> from DoD if child dies before reaching 18 yrs  whichever is the earlier	Also carers' records incorporated into child's record when placement ended
<b>FOSTER CARERS (approved) PLUS SUPPORTIVE LODGINGS</b>		25 yrs <b>OR</b> 2 yrs	from date approval ended or <b>OR</b> after DoD if earlier	
<b>FOSTER CARERS (unapproved)</b>	Fostering Services Regulations 2002	3 yrs <b>OR</b> 2 yrs <b>OR</b> 75 yrs	from refusal/withdrawal <b>OR</b> after DoD if earlier  if concerns exist	
<b>FOSTER CARER: initial enquiries taken no further</b>	Fostering Services Regulations 2002	3 yrs <b>OR</b> 2 yrs	from date of last contact <b>OR</b> after DoD if earlier	

RECORD TYPE	STAT. SOURCE	KEEP FOR	OPERATIONAL LIFE OR STORAGE PERIOD CEASES	NOTES
<b>MISSING &amp; FOUND OLA PERSONS</b>		3 yrs OR immed	after notification received OR after OLA notify us missing person found	
<b>RISKY ADULT CHECKS + OFSTED CHECKS</b>		1 yr	after check carried out	