



DERBYSHIRE COUNTY COUNCIL

Children's Services Retention Schedule

PLEASE NOTE:

Due to the on-going Independent Inquiry into Child Sexual Abuse no child/service files should be destroyed until further notice.



| Version History | | | | |
|-----------------|------|--|---------------------------------------|---------------------|
| Version | Date | Detail | Author | Responsible Officer |
| 2 | 2013 | No changes | Tony Smith | Tony Smith |
| 3 | 2014 | Removal of non-CAYA sections, and reformatted | Tony Smith | Tony Smith |
| 4 | 2015 | Additional of safeguarding records, and statement regarding non destruction of social care files | Martin Stone | Martin Stone |
| 5 | 2016 | Amendments and additional information regards specific examples | Jon Farmer | Chris Newton |
| 6 | 2017 | Re-formatted and re-numbered | Jon Farmer/David Jenkins/Martin Stone | Chris Newton |
| 7 | 2018 | Add Youth Offending Records section | Jon Farmer/David Jenkins/Martin Stone | Chris Newton |
| | | | | |

Standard Operating Procedure

Some records do not need to be kept at all. Standard Operating Procedures (SOP) define all records which staff may routinely destroy in the normal course of business. However, the retention/disposal schedule must still contain references and instructions concerning them.

SOP usually applies to information that is duplicated, unimportant, or of only short term transactional or operational value.

Examples include:

- 'with compliments' slips
- catalogues and trade journals
- reports from third parties circulated for information
- journals of professional bodies or organisations
- telephone message slips
- non-acceptance of invitations
- trivial electronic mail messages or notes that are not related to Authority business
- requests for standard information such as location maps, plans, contact details, opening hours or promotional material
- out-of-date distribution lists/staff directories
- minutes circulated for information
- Diaries and notebooks (where work related notes and dates recorded have transferred into other electronic systems and are not required as contemporaneous evidence)

(Note, this is not an exhaustive list)

Duplicated and superseded material such as official stationery, manuals, drafts, forms, address books and reference copies of DCC annual reports may be destroyed under SOP. Electronic copies of documents where a hard copy has been printed and filed, and thermal paper facsimiles after making and filing a photocopy, are also covered by SOP and may be destroyed

SOP should not be applied to records or information that can be used as evidence– to prove that something happened or that a decision was reached. Examples include: staff meeting minutes, public consultation papers or any record that has made a

significant contribution to the discussion of the business being conducted should be captured as a record and have a retention period assigned.

Glossary of Terms:

Closure: when a record ceases to be 'current' – this can be the when a set of minutes are formally agreed, or when a Help Desk incident is formally closed. Many retention periods are triggered after the 'closure' of a record

Disposal: the processes associated with the end of a records lifecycle, they will typically include destruction of the records or transfer of the records to Derbyshire Record Office for permanent preservation

Functional Description: the description of the function that the record serves (i.e. the functional description of a set of minutes is 'the process of preparing business...')

Permanent: Retain the record permanently and transfer to Derbyshire Record Office

Record: the recorded evidence about an activity

Retention Action: the action regarding the retention of a record, these will be triggered by a particular event (i.e. the closure of a record)

Additional Information:

Records Disposal Policy and Procedures:

http://www.derbyshire.gov.uk/working_for_us/data/how_to_dispose_of_confidential_information_safely/default.asp

Additional Retention Schedules (including HR, Management and Administration, Property, Procurement):

http://www.derbyshire.gov.uk/working_for_us/data/how_to_dispose_of_confidential_information_safely/records_retention_schedules/default.asp

For further information about the contents of this retention schedule, or for records management generally contact Records Management on records.management@derbyshire.gov.uk or on ext. 39203

At a glance guide to other retention periods

| Record Type | Retention Period | Further Information |
|---------------------------------------|---|--|
| Finance Records | 6 years (from the end of the current financial year) | Finance Retention Schedule |
| Operational meeting minutes | 3 years (from agreement of minutes) | Management and Administration Retention Schedule |
| Strategic meeting minutes | Permanent (transfer to Derbyshire Record Office) | Management and Administration Retention Schedule |
| Statistics | 6 years | Management and Administration Retention Schedule |
| Contract Records | 6 years (ordinary contract, 12 years (contract under seal) from end of terms of contract) | Procurement Retention Schedule |
| Staff Records | 7 years from end of employment or 25 years from end of employment (if working in a social care or risk group) | Human Resources Retention Schedule |
| Cabinet reports | Permanent | Management and Administration Retention Schedule |
| Interview documents | 6 months (for unsuccessful candidates), retain on personnel file for successful candidates | Human Resources Retention Schedule |
| Majority of health and safety records | 7 years (with the exception of asbestos and radiation records) | Health and Safety Retention Schedule |
| Policies and associated procedures | Permanent (transfer to Derbyshire Record Office) | Management and Administration Retention Schedule |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|--|--|--|--|---------------------|---|
| Child Protection (Safeguarding) Records | | | | | |
| 1.01 | Process involving individual case assessment, investigation and management of children involved in child protection: a) investigated, conferenced and plan produced b) core assessmentDo c) investigated but not conferenced and no plan produced d) all documents relating to safeguarding concerns | Destroy 35 years from closure | Concern about a child form Strategy discussion/meeting notes S47 proforma Schedule 1 notifications DV notifications Child protection concerns shared from third parties | Common Practice | EH and Safeguarding Case Management System Offsite Storage Restricted EDRM folder |
| 1.02 | The process of managing allegation of child sexual exploitation and abuse | Destroy 35 years from closure with authorisation of Strategic Director. If no authorisation given Strategic Director must review retention every 6 years | All documents relating to process, including: LADO minutes, | Common Practice | EH and Safeguarding Case Management System Offsite Storage |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|--|--|--|---|--|--|
| | | | Strategy discussion/meeting minutes | | Restricted EDRM folder |
| Children in Care, Adoption and Children in Need Records | | | | | |
| 2.01 | <p>Process involving individual case management of children looked after by the local authority. This includes children and young people:</p> <ol style="list-style-type: none"> 1. Adopted via the local authority 2. In children's homes 3. Fostered by local authority 4. On custodianship orders 5. On residence orders | Destroy 75 years from 18 th birthday with approval from manager | <p>Young person being looked after file</p> <p>Looked after children client files</p> <p>Residential care children's file</p> <p>Adoption files</p> <p>Privately fostered children's file</p> <p>Guardian</p> <p>CAFCASS files</p> <p>Guardian ad litem</p> | Common practice Statutory basis (Care Planning, Placement and Case Review (England) Regulations 2010 No. 959, Regulation 49) | <p>CS Early Help and Safeguarding Case Management System – Framework-I</p> <p>Authorised Offsite Storage</p> <p>Restricted EDRM folder</p> |
| 2.02 | Process involved in adopting a child including the case management of the adopted child | Destroy 100 years from date of the adoption order | <p>Minutes and recorded decisions of adoption panels</p> <p>Adoption files</p> | Statutory basis (The Disclosure of Adoption Information (Post-Commencement Adoptions) Regulations 2005 No. 888) | CS Early Help and Safeguarding Case Management System – Framework-I |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|----------|--|---|--|---|---|
| | | | | | Authorised Offsite Storage Restricted EDMR folder |
| 2.03 | Process involved in checking the suitability of people who have become adoptive parents or foster carers | Destroy 100 years from date of the adoption order for adopters Destroy 75 years after end of last placement | Adoptive parent counselling files Approved adopters Foster carer files | Statutory basis (The Disclosure of Adoption Information (Post-Commencement Adoptions) Regulations 2005 No. 888) Fostering Regs (England) | CS Early Help and Safeguarding Case Management System – Framework-I Authorised Offsite Storage Restricted EDMR folder |
| 2.04 | Process involved in checking the suitability of prospective adopters or foster carers who did not go on to full approval | Destroy 10 years from the date on which approval was not granted during or after stage 1 Destroy 3 years from the date on which enquiry that did not reach stage 1 was marked as ended | Foster carer files Form F Stage 1 assessment Enquiry forms | Statutory basis (Foster Placement (Children) Regulations Statutory Instrument 1991, No. 910) | CS Early Help and Safeguarding Case Management System – Framework-I Authorised Offsite Storage |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|----------|--|--|--|---|--|
| | | | | | Restricted EDM folder |
| 2.05 | Process involving individual case management of families or adults who have fostered children in their care | Destroy 35 years after carer has ceased to foster | Foster carer files Supported lodging files | Common practice Statutory basis (The Fostering Services Regulations 2002 No. 57) | CS Early Help and Safeguarding Case Management System – Framework-I Authorised Offsite Storage Restricted EDM folder |
| 2.06 | Children in need who have not been adopted or looked after and who have not been the subject of a child protection inquiry or plan | Destroy 10 years from closure of file with approval from manager | Single Assessment Family Assessment Records of interviews Reports | Common practice Statutory basis (The Limitations Act 1980) | CS Early Help and Safeguarding Case Management System – Framework-I Authorised Offsite Storage Restricted EDM folder |
| | | | | | |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|---------------------------|--|--|--|---|---|
| Early Help Records | | | | | |
| 3.01 | Process involving individual case management of services or support to children and young people not met Children in Need thresholds, not been adopted or looked after and who have not been the subject of a child protection inquiry or plan | Destroy 10 years from closure of file with approval from manager | Assessment materials Records of interviews Reports | Common Practice Statutory basis (The Limitations Act 1980) | CS Early Help and Safeguarding Case Management System – Framework-I Authorised Offsite Storage Restricted EDRM folder Authorised Offsite Storage Restricted EDRM folder |
| 3.02 | Process involving individual case management in the provision of support by the local authority to individual families | Destroy 10 years from closure of file with approval from manager | Assessment materials Records of interviews Reports | Common Practice Statutory basis (The Limitations Act 1980) | CS EH and Safeguarding Case Management System – Framework-I |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|--|--|----------------------------------|---|--|--|
| Universal Services or non-targeted services | | | | | |
| 4.01 | Processes involving administration and provision of universal or non-targeted services | Destroy 7 years from last action | Children Centre records recording attendance at activities not related to targeted services Registration details of parents carers not receiving targeted services | Common practice Statutory basis (The Limitations Act 1980) | CS Children's Centre Case Management System – Synergy Connect Authorised Offsite Storage Restricted EDRM folder Restricted Network Folder |
| Special Educational Needs | | | | | |
| 5.01 | Process involved in assessing and providing individual support for children who have need of special education support | Destroy 35 years from DOB | SEN Files EHCP's | Common practice Statutory basis (The Limitations Act 1980) | CS Education Case Management System – Synergy Authorised Offsite Storage |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|--|---|---|--|---|--|
| | | | | | Restricted EDRM folder |
| Educational Psychology | | | | | |
| 6.01 | Process involved in assessing and providing individual support for children requiring educational psychology support | Destroy 35 years from DOB | Educational Psychology file | Common practice Statutory basis (The Limitations Act 1980) | CS Education Case Management System - Synergy Authorised Offsite Storage Restricted EDRM folder Restricted Network Folder |
| Education Case Management Records for Children and Families | | | | | |
| 7.01 | Process involving individual case management in the provision of support by the local authority to children young people and families | Destroy 35 years from DOB (unless child has been in care or has had SEND involvement in which case follow | Assessment materials Records of interviews Reports | Common Practice Statutory basis (The Limitations Act 1980) | CS Early Help and Safeguarding Case Management |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|----------------------------------|--------------------------------|--|--|---------------------|--|
| | | retention rules that apply to those records) | Behaviour Support Service case files Pupil absence penalty notices Children Missing from Education records Central pupil list on case management system | | System – Framework-I CS Education Case Management System - Synergy Authorised Offsite Storage Restricted EDRM folder Restricted Network Folder |
| Admissions and Exclusions | | | | | |
| 8.01 | Case Files (including appeals) | Destroy 25 years from DOB (unless child has been in care or has had SEND involvement in which case follow retention rules that apply to those records) | Appeal files Exclusion files | Common practice | CS Education Case Management System – Synergy Restricted EDRM folder |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|---|---|--|---|---------------------|---|
| | | | | | Restricted Network Folder |
| 8.02 | School Admissions transfer and admission application forms | Destroy 7 years after application date | Application Forms | Common practice | Restricted EDRM folder Restricted Network Folder |
| Programme Management and Development | | | | | |
| 9.01 | Process involved in development of services or programmes for children | Destroy 7 years from closure of file | Annual Plan District Plans Pupil Referral Unit development Plans Service Development Plans | Common practice | Restricted Network Folder Restricted EDRM folder |
| 9.02 | Process involved in provision of services or programmes to support the development of children | Destroy 25 years from closure of file | Sufficiency Strategy Reports to Corporate Parents | Common practice | Restricted Network Folder Restricted EDRM folder |
| 9.03 | Process involved in provision of a services or programmes to support the development of young persons | Destroy 15 years from closure of file | Certificates of attendance | Common practice | Restricted Network Folder Restricted EDRM folder |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|-------------------------------|--|---|---|---------------------|--|
| 9.04 | Process that assesses risks for Home to school transport | Destroy 7 years after application date Or (if applicable) For SEND pupils destroy 35 years after application date | Application forms Reports of routes Correspondence | Common practice | Restricted Network Folder Restricted EDRM folder |
| Curriculum Development | | | | | |
| 10.01 | The process of developing the curriculum | Destroy after current Year + 6 years | Curriculum Development Plan | Common practice | Restricted Network Folder Restricted EDRM folder |
| 10.02 | The process of delivering the curriculum | Destroy after current year + 1 year | School syllabus Lesson plans/aims Schemes of work Timetables Class record books Mark books Record of homework set Pupil's work | Common practice | Restricted Network Folder Restricted EDRM folder Secure cabinet or room at establishment |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|----------|---|---|-----------|---------------------|---|
| | | | | | <p>Authorised Secure Offsite Storage</p> <p>Pupil Management Information System – RM Integris</p> |
| 10.03 | Process to record daily events in schools or pupil referral units | Permanent: Transfer to archives 6 years from last entry | Log Books | Common practice | <p>Restricted Network Folder</p> <p>Restricted EDRM folder</p> <p>Secure cabinet or room at establishment</p> <p>Authorised Secure Offsite Storage</p> <p>Pupil Management Information System – RM Integris</p> |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|----------|---|---|----------------------|---------------------|--|
| 10.04 | Process to record admission to schools or pupil referral units | Permanent: Transfer to archives 6 years from last entry | Admissions Registers | Common practice | Restricted Network Folder Restricted EDRM folder Secure cabinet or room at establishment Authorised Secure Offsite Storage Pupil Management Information System – RM Integris |
| 10.05 | Process to record attendance to schools or pupil referral units | Destroy 3 years from last entry | Attendance register | Common practice | Restricted Network Folder Restricted EDRM folder |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|----------|------------------------|---|---|---|---|
| | | | | | Secure cabinet or room at establishment Authorised Secure Offsite Storage Pupil Management Information System – RM Integris |
| 10.06 | Pupil Files | Retain for time pupil in primary/secondary school. Transfer to another school if pupil leaves. Otherwise destroy records after individual's 25 th birthday (unless child has been in care or has had SEND involvement in which case follow retention | Pupil record cards Daily records Baseline assessments Early intervention evaluations of placements | Common practice Statutory basis (The Limitations Act 1980) | Restricted Network Folder Restricted EDRM folder Secure cabinet or room at establishment Authorised Secure Offsite Storage |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|----------|--------------------------------|--------------------------------------|---|---------------------|--|
| | | rules that apply to those records) | | | Pupil Management Information System – RM Integris |
| 10.07 | Authorisation of pupil absence | Destroy 2 years from date of absence | Letters authorising absence from school | Common practice | Restricted Network Folder Restricted EDRM folder Secure cabinet or room at establishment Authorised Secure Offsite Storage Pupil Management Information System – RM Integris |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|----------------------------|---|--|----------------------|--|--|
| 10.08 | The process to register the provision of a school service | Destroy 3 years from closure of record | School meal register | Common practice | Restricted Network Folder Restricted EDRM folder Secure cabinet or room at establishment Authorised Secure Offsite Storage Pupil Management Information System – RM Integris |
| Examination Results | | | | | |
| 11.01 | Recording of Public examination results | Destroy 6 years from examination year | SATS GCSE | Return unclaimed examination certificates to appropriate examination board | Restricted Network Folder Restricted EDRM folder |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|--------------------------|---|--|---|---|---|
| | | | | | Secure cabinet or room at establishment Authorised Secure Offsite Storage Pupil Management Information System – RM Integris |
| Residential Homes | | | | | |
| 12.01 | Summary management systems that manage children housed by the local authority | Permanent Transfer to archives 6 years from last entry | Children’s home registers Admissions register Discharge register Meeting Minutes Significant Events Register Policy and Procedures Mission Statements | Common practice Statutory basis (Children’s Homes Regulations 1991 s.17) | Restricted Network Folder Restricted EDRM folder Secure cabinet or room at establishment |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|--------------------------------|---|---|--|--|---|
| | | | Inspection Reports | | Authorised Secure Offsite Storage |
| 12.02 | Documents relating to the operation of the establishment | See operational guidance in Children's Home Retention Guidelines | See operational guidance in Children's Home Retention Guidelines | Common practice | Restricted Network Folder Restricted EDRM folder Secure cabinet or room at establishment Authorised Secure Offsite Storage |
| Youth Offending Records | | | | | |
| 13.01 | Records relating to case management of young people at risk of being involved or involved in criminal justice process | Destroy 25 years from DOB or (if applicable) Destroy records 6 years from end of supervision of order or licence (aged over 18) | Supervision orders | Statutory basis (Limitations Act 1980) Guidance (Youth Justice Board national standards 2009 & Youth Justice Board Case Management Guidance 2010) | CS Youth Offending Case Management System – CACI Childview |

| Ref. No. | Functional Description | Retention Period | Examples | Further Information | Storage Location |
|----------|------------------------|------------------|----------|---------------------|--|
| | | | | | Restricted EDRM folder Restricted Network Folder Authorised Secure Offsite Storage |