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
7.1	2018	No changes, but validity extended to end of June 2018	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- out-of-date distribution lists/staff directories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Duplicated and superseded material such as official stationery, manuals, drafts, forms, address books and reference copies of DCC annual reports may be destroyed under SOP.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 assessment 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, Strategy discussion/meeting minutes	Common Practice	EH and Safeguarding Case Management System Offsite Storage Restricted EDRM folder

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
Children in Care, Adoption and Children in Need Records					
2.01	Process involving individual case management of children looked after by the local authority. This includes children and young people: 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 18th birthday with approval from manager	Young person being looked after file Looked after children client files Residential care children's file Adoption files Privately fostered children's file Guardian CAFCASS files Guardian ad litem	Common practice Statutory basis (Care Planning, Placement and Case Review (England) Regulations 2010 No. 959, Regulation 49)	CS Early Help and Safeguarding Case Management System – Framework-I Authorised Offsite Storage Restricted EDRM folder
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	Minutes and recorded decisions of adoption panels Adoption files	Statutory basis (The Disclosure of Adoption Information (Post-Commencement Adoptions) Regulations 2005 No. 888)	CS Early Help and Safeguarding Case Management System – Framework-I Authorised Offsite Storage Restricted EDRM folder

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
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 EDRM 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 Restricted EDRM folder

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
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 EDRM 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 EDRM 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 Restricted EDRM folder

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
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 retention rules that apply to those records)	Assessment materials Records of interviews Reports Behaviour Support Service case files Pupil absence penalty notices	Common Practice Statutory basis (The Limitations Act 1980)	CS Early Help and Safeguarding Case Management System – Framework-I CS Education Case Management System - Synergy Authorised Offsite Storage

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
			Children Missing from Education records Central pupil list on case management system		Restricted EDRM folder Restricted Network Folder

Admissions and Exclusions

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
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 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

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
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
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

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
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 Authorised Secure Offsite Storage Pupil Management Information System – RM Integris
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	Restricted Network Folder

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
					Restricted EDRM folder Secure cabinet or room at establishment Authorised Secure Offsite Storage Pupil Management Information System – RM Integris
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

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
					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 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.	Pupil record cards Daily records Baseline assessments Early intervention	Common practice Statutory basis (The Limitations Act 1980)	Restricted Network Folder Restricted EDRM folder

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
		Otherwise destroy records after individual's 25th birthday (unless child has been in care or has had SEND involvement in which case follow retention rules that apply to those records)	evaluations of placements		Secure cabinet or room at establishment Authorised Secure Offsite Storage 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 Secure cabinet or room at establishment

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
					Authorised Secure Offsite Storage Pupil Management Information System – RM Integris

Residential Homes

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
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 Inspection Reports	Common practice Statutory basis (Children's Homes Regulations 1991 s.17)	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
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

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