



DERBYSHIRE COUNTY COUNCIL

Adult Social Care and Health Retention Schedule

Formerly the Adult Care retention schedule. Supersedes the Public Health retention schedule v5.

Due to the ongoing Independent Inquiry into Child Sexual Abuse (IICSA) some record types have been marked with additional instructions in the Further Information column. Please check carefully before destroying records. When IICSA is concluded this guidance will be reviewed.



Version History				
Version	Date	Detail	Author	Responsible Officer
1.00	Aug 2004	Drafted by Denise Abrehart (Information Governance Officer), authorised by Bruce Buckley (Director of Social Services)	Denise Abrahart	Bruce Buckley (Director of Social Services)
1.02	Apr 2009	Reviewed and updated by Neil Brailsford (Data and Information Manager)	Neil Brailsford	
2.00	2014	Reviewed and updated by Neil Brailsford (Data and Information Manager) and David Jenkins (Corporate Records Manager)	Neil Brailsford	
3.00	2016	Reformatted and re-ordered by David Jenkins (Corporate Records Manager)	David Jenkins	
4.00	Feb 2018	Reformatted by Mark Smith (Corporate Records Manager); reviewed by Neil Brailsford (Data and Information Manager)	Neil Brailsford/Mark Smith	
5.00	Jul 2018	Amended in response to IICSA risk assessment.	N. Brailsford/M. Smith	
5.01	Mar 2019	“At a glance” guide: interview documents, 6 months becomes 12 months.	Mark Smith	
5.02	Jul 2019	AC 3.2.1, 3.3.1, 3.4.1: references to IICSA amended in accordance with revised risk assessment (see appendix)	Mark Smith	
5.03	Dec 2019	AC 3.4.1: minor correction	Mark Smith	
6.00	Jan 2020	Adult Care retention schedule incorporates the Public Health retention schedule v5. References are unchanged. Name changed to match department.	Mark Smith	
6.01	Apr 2020	Accidentally omitted PH sections 5-7 restored	Mark Smith	

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 dating from after 2014. It was agreed in 2014 that staff should only use diaries/notebooks temporarily, before transferring any work related notes and dates into Framework-I. Any diaries or notebooks of an earlier date should be retained until the Independent Inquiry into Child Sexual Abuse has given permission for their destruction

(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:

Corporate Records Disposal Procedures:

<https://staff.derbyshire.gov.uk/information-security/confidential-information/disposing-of-confidential-information/disposing-of-confidential-information.aspx>

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

<https://staff.derbyshire.gov.uk/information-security/confidential-information/records-retention-schedules/records-retention-schedules.aspx>

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	12 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
ADULT CARE SERVICES					
CARERS					
AC 3.1.1	Administering provision of monitoring and support for carers	Destroy 25 years after end of employment	Carer reviews; assessment of carer suitability; background information on a carer and their history	RGLA 3.25	
AC 3.1.2	Administering the carer service	Destroy 25 years from closure	Records of decisions relating to provision of care through agency staff	RGLA 3.25	
AC 3.1.3	Ascertaining a carer's capacity to drive a vehicle	Destroy 1 year after end of employment	Details from driving licence	LGCS	
AC 3.1.4	Provision of financial support to carers	Destroy 3 years after end of financial year	Summary details of support provided	Accounts and Audit Regulations 1974; Limitations Act 1980	
RESIDENTIAL HOMES					
AC 3.2.1	Administrative operation of residential homes	Destroy 25 years from closure	Records of the home's activities, e.g. diary, roster sheets	RGLA 3.25	
AC 3.2.2	Provision of catering services at residential homes	Destroy 1 year after closure	Menus	LGCS	
AC 3.2.3	Licensing of residential homes to operate	Permanent – offer to archivist	Licensing register	RGLA 3.24	

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
	SUPPORTING ADULTS				
AC 3.3.1	Provision of assessment and individual support or services for adults	Destroy 6 years after last contact	Case files for: Day service provision; Learning disability; Physical disabilities; Sensory disability; Rehabilitation and discharge; Communication support; Drug and alcohol misuse; Occupational therapy; Home Care	Before destroying any case file, cross-check against records of looked-after children, and retain if matching child record is held. This instruction applies for the duration of IICSA. Common practice / RGLA 3.18	
AC 3.3.2	Provision of non-individual related support and guidance to older adults	Destroy 6 years from closure		Common Practice	
AC 3.3.3	Undertaking of assessment and analysis of the Adult Care market situation	Review 10 years from closure		Common Practice	
AC 3.3.4	Undertaking of demographic and related research to support Adult Care services	Review 10 years from closure		Common Practice	

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
	MENTAL HEALTH				
AC 3.4.1	Provision of assessment and individual support for adults with mental illness	Destroy 10 years after last contact	Mental health case files	<p>Before destroying any case file, cross-check against records of looked-after children, and retain if matching child record is held. This instruction applies for the duration of IICSA.</p> <p>Common Practice / The Mental Health Act 1983</p>	

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
Public Health (core functions)					
PH 1.01	The process of reducing health inequalities	Destroy 6 years from closure	Health Equity Audits	Health and Social Care Act 2012, S18	public health shared drive
PH 1.02	The process of reporting on the public health of the area in the form of annual reports, policies and subsequent procedures	Permanent	Public Health Annual Report Strategic meeting minutes	Health and Social Care Act 2012, S31.5-6 National Health Act 2006 S.73B	public health shared drive
PH 1.03	The process of delivering public health services and working with partners	3 years (from agreement of minutes)	operational meeting minutes		Public Health shared drive
PH 1.04	The process of working with public health partners	Destroy 10 years from closure	Public Health locality meetings	Business Requirement	Public Health shared drive
Health Improvement					
PH 2.01	The process of developing and delivering a public health initiative	Destroy 6 years from closure		Business Requirement	Public Health shared drive Prevention shared drive
PH 2.02	The process of promoting improved public health	Destroy 6 years from closure	Heart of Derbyshire	Health and Social Care Act 2012, S18	Public Health shared drive Prevention shared drive

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
PH 2.03	The process of developing public health advice	Destroy 6 years from closure		Health and Social Care Act 2012, S18	Public Health shared drive Prevention shared drive
Public Health Directly Delivered Services					
PH 3.01	The process of assessing and providing wellbeing support or public health and prevention services for clients and local communities	Destroy 6 years from last contact	Client records from the following:- Stop smoking clinics Benefit claimant support; Work-related support for people with disabilities; TimeSwap scheme; Local Area Co-ordinators; School crossing patrol site information	Business Requirement	External Information Security management system EDRM Prevention shared Drive Welfare rights service shared drive Public Health shared Drive Time banking membership system
Health Protection					
PH 4.01	The process of planning against public health related risks and hazards	Permanent	Emergency preparedness procedures	Health and Social Care Act 2012, S18	Public Health shared drive
PH 4.02	The process of responding to public health related incidents	Destroy 6 years from resolution/conclusion of incident	Incident response	Health and Social Care Act 2012, S18	Public Health shared drive

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
Health Care					
PH 5.01	The process of providing public health advice to, and supporting, health commissioning bodies	Destroy 6years from closure		Health and Social Care Act 2012, S18	Public Health Shared drive
PH 5.02	The process of monitoring and evaluating public health needs of the population and services	Destroy 6 years from closure	Health Needs Assessments	Health and Social Care Act 2012, S18	Public Health Shared drive
PH 5.03	The process of supporting the population's sexual health and wellbeing, healthy pregnancy, birth, and early years, healthy living and working for adults from 18-65 years old, ageing well for people from 65 years and over	6 years		Health and Social Care Act, 2012 SN06844	Public Health shared drive
Commissioning					
PH 6.01	The process of procurement of public health services	6 years (ordinary contract, 12 years (contract under seal) from	Tender specification Contract documentation	Business Requirement	Public Health shared drive Prevention shared drive

Ref. No.	Functional Description	Retention Period	Examples	Further Information	Storage Location
		end of terms of contract			
PH 6.02	The process of managing performance and budget across commissioned services	6 years from expiration of terms of contract	Performance reports Minutes of meetings, variation forms	Business Requirement	Public Health shared drive
Public Health Intelligence					
PH 7.01	The process of gathering evidence to support the exercise of public health functions	Destroy 6 years from closure	Evidence Searches and Reviews	Business Requirement	Public Health shared drive
PH 7.02	The process of obtaining, processing and analysing national record level datasets for health and social care purposes	Destroy upon expiration of NHS Digital Data Sharing Contract	Mortality Rates	Health and Social Care Act 2012 s261(1)	Public Health shared drive
PH 7.03	The process of monitoring and evaluating public health needs of the population and services	Destroy 6 years from closure	Health Needs Assessments	Health and Social Care Act 2012, S18	public health shared drive
PH 7.04	The process of contributing to the joint strategic needs assessment for the area.	Destroy 6 years from closure	JSNA Board reports, statistics and minutes	Health and Social Care Act 2012, S18	Public Health shared drive

Appendix 1: Risk Assessment submitted to the Independent Inquiry into Child Sexual Abuse

In July 2015, all local authorities in England and Wales received a letter from the Chair of the Independent Inquiry into Child Sexual Abuse (IICSA), ordering the retention of any documents of relevance to the Inquiry. The letter acknowledged that it was “not yet clear” which local authority records would be required as evidence, but ordered a “thorough search” of both digital and paper records, to ensure that “everything of potential relevance to the Inquiry is retained”. Although an appendix to the letter gave some useful examples of records that might be needed by the Inquiry, it was not a comprehensive list.

The initial response of Derbyshire County Council’s Records Management service was to re-issue retention schedules marked with instructions to suspend most destruction activity until further notice. However, the council had not been ordered to retain all records forever, only those of relevance – so the next action was to assess the risk of accidentally destroying something which the Inquiry would later ask to see. The resultant risk assessment has been submitted to IICSA, and acknowledged without objection. A revised version was produced in 2019, which removed most restrictions on the destruction of Adult Care files (see version history above).

Mark Smith
Corporate Records Manager

Section 1: Key record series for retention, which fall within the scope of IICSA

Records for retention	Rationale	Further information
Client files (adults and children)	Due to the volume of client records the council holds it will not be practical to review all files to establish which may contain information about alleged child sexual abuse. Therefore it has been agreed that all Children's Services client files will be retained. Adult Care client files will also be retained if they relate to an individual who was in the council's care before the age of 18. Index transcription work undertaken by the Children's Services department during 2018-2019 makes it possible to cross-reference the files in this manner.	In some cases (as outlined in Section 2) original paper records have been scanned into an appropriate recordkeeping system. The electronic version then serves as the substantive record.
Staff files (all staff)	Due to the volume of staff records the council holds it will not be practical to review all files to establish which may contain information about allegations of child sexual abuse or sexual activity with a child. Therefore it has been agreed that all staff files will be retained.	In some cases (as outlined in Section 2) original paper records have been scanned into an appropriate recordkeeping system. The electronic version then serves as the substantive record.
Policies and Procedures	We acknowledge that the scope of the letter issued to the Chief Executive of the council by IICSA in 2015 clearly required the retention of information on policy making in respect of child protection.	
Decision making documents created by Children's Services	Records such as minutes and reports may contain references to child protection and even instances of child sexual abuse. Therefore it is proposed that any minutes and reports produced by the council's Children's Services department and associated committees be retained.	

Records on the operation and management on any children's residential establishment	We acknowledge the clear focus of the IICSA on residential care and therefore will ensure that any records produced by our surviving residential establishments are retained for the duration of the inquiry.	Research into the whereabouts of records relating to establishments no longer run by the council is ongoing and complex.
Office diaries (pre-2015)	A decision was made in July 2014 by the council's Information Governance Group to allow the destruction of diaries and notebooks. This is because they are not suitable storage media for recorded information, and other recordkeeping systems are available into which staff transfer client information (e.g. the Mosaic case management system). It is therefore expected that a significant quantity of diaries will have been reviewed and then destroyed in response to that decision. Where office diaries/notebooks of an earlier date do survive, they may contain details of appointments with clients. In cases where no other records survive these may have a bearing on an IICSA investigation, and it is therefore proposed that they be retained.	Staff have been expected to use the Mosaic case management system as the key system to record child safeguarding information for many years, so the likelihood that diaries contain such information is very low. This proposal does not apply to diaries or notebooks relating to the operation of residential establishments.

Section 1: Risk Assessment on Destruction of Records outside the scope of IICSA

Records for disposal	Rationale	Risks	Risk Reduction Activity
Financial records	Where financial transactions bear upon the Council's care of an individual, their case file is updated accordingly. No personal information should exist within purely financial records and therefore these should not fall within the scope of IICSA.	Where no other records exist financial records may provide some additional evidence which might have a bearing on an IICSA investigation	For any establishments which are known to be lacking other supporting records (and for all Children's residential establishments) the financial records will be retained.
Office diaries (2015 onwards)	A decision was made in July 2014 by the council's Information Governance Group to allow the destruction of diaries and notebooks. This is because they are not suitable storage media for recorded information, and other recordkeeping systems are available into which staff transfer client information (e.g. the Mosaic case management system). It is therefore proposed that the routine destruction of diaries and notebooks first used after the dissemination of that decision should continue uninterrupted.	With regard to some council establishments, including residential homes, it is known that few supporting records have survived.	For any establishments which are known to be lacking in supporting records (and for all residential establishments) such notebooks and diaries will be retained.
Original documents which have been scanned	As part of the council's move towards electronic working methods a number of paper files are being scanned into key recordkeeping systems. Because the files have now been scanned and are available electronically it is proposed that the original paper files be disposed of.	That IICSA will not accept the electronic files and would require the original paper files which have now been destroyed.	Scanning is undertaken in accordance with agreed scanning procedures to ensure reliable scanned images. Any large scale historical scanning projects are done by trained staff

			under BS10008:2014 compliant procedures.
Records created by the Adult Care department which do not relate to social care work with clients – including welfare rights work, carers emergency cards and First Contact signposting	These records are not concerned with the provision of social care and therefore should not fall under the scope of the IICSA	None identified	Not applicable
Electronic 'stubs' on our case management system which show there was involvement with a client but contain no further details. These stubs date back to 2005 when they were migrated from our old mainframe system prior to the installation of a new case management system.	No details of the type of care received and therefore would be of minimal use to the IICSA.	None identified	Not applicable