



Records Retention and Disposal Schedule

Children's Services

Early Intervention and Safeguarding

Adoption and Fostering / Children's Social Work Files/Early Intervention

Version: 3

Use from: 01/07/2015

Document Control Information

Version	Author	Policy Approved By	Approval Date	Publication Date	Review Date
1	Lisa Handley	Directorate Leadership Team (DLT)	1.7.15	July 2015	1.7.18
2	Lisa Handley	Head of Service	21.10.15		
3	Lisa Handley	Head of Service (Julie Jenkins)	09.11.2016	Nov 2016	1/7/2018

Version Control

Version	Updated
Summary of Changes	Changes made by
<p>21.10.15</p> <p>Removal of category of unaccompanied minors, as these are considered as CLA.</p> <p>All CIN cases including contact and referrals to be DOB + 25 years</p> <p>Unborn children added under CIN referrals to be EDD/DOB +25 years</p> <p>Introduction of category for cases where there has been a child protection enquiry that has not led to any further action</p>	<p>Lisa Handley, Service Manager.</p> <p>Jamiila Sims, Service Manager</p>
<p>14.9.16</p> <p>'Early Intervention' added to title of document to demonstrate that this now encompasses those records</p> <p>Addition of Behaviour Support Services, Education Welfare, Education Psychology and Permanent Exclusion</p> <p>Addition of Adoption Support Child's Case File and Family Finding File's</p> <p>Addition of Fostering Panel Records</p> <p>Addition of Early Intervention (Panel and EISA/CAF)</p> <p>Addition of General Section -Diaries</p>	<p>Lisa Handley, Service Manager</p> <p>Michael Cordingley.</p> <p>Information Governance</p>

Notice: Any changes in legislation or business processes which require deviation from or amendment to this retention schedule may require authorisation from a Head of Service and must be reported to the Information Governance team. Master copies of retention and disposal schedules are to be held by Information Governance and will be made available on the Council's intranet.

Disclaimer: This schedule reflects the record keeping requirements of Calderdale Metropolitan Borough Council (CMBC). CMBC accepts no liability if this Retention Schedule is used by individual or organisations outside of the authority.

A handwritten signature in blue ink, appearing to read 'Julie Jenkins', with a large circular flourish at the beginning.

Julie Jenkins – Head of Early Intervention and Safeguarding

Using the retention schedule

A retention schedule sets out how long each type of record should be kept for and why it should be kept for this period of time. NOTE: retention schedules are active documents and changes will be made as legislation, statutory instruments and business need / processes change. If there are changes you are aware of please contact the Information Governance Team.

Explanation of Retention Schedule Headings

Business Classification and Record Series Name: The business function / activity the record series supports and the name of the record series.

Description: additional information that defines the business function, activity or process that the record series supports.

Retention Trigger: a trigger event is an occurrence that starts the retention period for a given record.

Retention Period: states the length of time a record must be retained for once the trigger event has been realised.

Disposal Action: specifies how a record should be disposed following the end of its retention period.

Authority: specifies the legal, regulatory and or business reasons for why a records need to be retained for the length of its retention period.

Business Classification & Record Series Name	Description	Retention Trigger (event triggering start of retention period)	Retention Period	Disposal Action (following end of retention period)	Authority
Children's Services – Early Intervention and Safeguarding					
Adoption and Fostering					
Adoption Case File	Information relating to the child's adoption including details of adopters Also personal items left for the adoptee by relatives such as letters and photographs	Adoption Order being made	If Adoption Order made on or after 30 th December 2005 retain for 100 years from date of Adoption Order. If Adoption Order made before 30 th December 2005, retention period of 75 years	Paper file destroyed (confidential waste) Electronic file deleted	Adoption & Children Act 2002 section 56
Adoptive Parent Case File	Adoptive parent file, including finance files	Adoption Order being made	Retain for 100 years from date of Adoption Order	Paper file destroyed (confidential waste) Electronic file deleted	Adoption & Children Act 2002 section 56
Letterbox contact	Means of communication for birth parents to stay in contact with their children after adoption	Letterbox contact ceasing	Once service ended, records to be amalgamated with the original adoption case file		Adoption & Children Act 2002 section 56
Adoption Support child case file	Child's case file where support is being provided by the Adoption Support Team	See CIN, CP and CLA retention periods		Paper file destroyed (confidential waste) Electronic file deleted	

Business Classification & Record Series Name	Description	Retention Trigger (event triggering start of retention period)	Retention Period	Disposal Action (following end of retention period)	Authority
Family Finding File	Case file that details the attempts to family find for a child where adoption is planned	DOB	<p>If Adoption Order made on or after 30th December 2005 retain for 100 years from date of Adoption Order. If Adoption Order made before 30th December 2005, retention period of 75 years</p> <p>If no Adoption Order made DOB +75 years. If the child dies before attaining the age of 18 years, retaining 15 years from date of child's death</p>	<p>Paper file destroyed (confidential waste) Electronic file deleted</p>	
Adoption council minutes and decisions of adoption panel minutes	Confirmed minutes and decisions of the adoption panels	Minutes being signed off by panel chair	Retain for 100 yrs from date of panel	Paper copy destroyed (confidential waste)	The Disclosure of Adoption Information (Post-Commencement Adoptions) Regulations 2005 No. 888, Regulation 6
Fostering council minutes and decisions of fostering	Confirmed minutes and decisions of fostering panels	Minutes being signed off by panel chair	Retain for 75 yrs from date of panel	Paper copy destroyed	Fostering Services Regulations 2002 –

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panel minutes				(confidential waste)	amended to suit local practice
Adoption/Fostering advice and guidance	Information/guidance provided to children or potential carers/adopters on the legal implications and procedures of adoption, this must be provided in writing.		Put on relevant file and retain as indicated.		Adoption Agencies Regulations 2005, No. 389, Regulation 14 and 21.
Prospective Adopter and Foster Carer Files (Formal Application received)	Records relating to prospective adopters or foster carer, either approved at panel stage, but not placed with a child, or not approved as prospective adopters or foster carer at panel stage.	Date of panel where decision made on application to be approved as a Foster Carer or an Adoptive Carer	Prospective adopters or foster carer approved at panel stage, but not placed with a child, or not approved as prospective adopters or foster carer at panel stage. Retain 10 Years from date of panel. Persons who formally applied to be assessed as prospective adopters or foster carer but not reached panel stage retain for 10 years from date of application.	Paper file destroyed (confidential waste) Electronic file deleted	Fostering Service regulations 2011 (reg 30 and 32)
Prospective Adopter and Foster Carer Files (Which do not lead to approval or are withdrawn)	Enquires from prospective adopters and foster carers, who never subsequently submit a formal application to start the approval	Enquiry from a prospective carer	Retain for 3 years from date of enquiry	Paper file destroyed (confidential waste)	Good practice

Business Classification & Record Series Name	Description	Retention Trigger (event triggering start of retention period)	Retention Period	Disposal Action (following end of retention period)	Authority
	process			Electronic file deleted	
Foster Carer Register	Details of foster parent, including name, address, date of birth, address and sex of each foster parent and list of which children are placed name, address, date of birth and sex of each foster parent and, in the case of a local authority fostering service, of each person with whom are placed	Approval as a foster carer	Retain 75 years from closure of the fostering file and in conjunction with the retention period for the case file of the child place (in which case the retention period maybe 100 years)	Paper file destroyed (confidential waste) Electronic file deleted	Fostering Service regulations 2011 (reg 32)
Foster Carer Case File	Documentation relating to families or adults who have fostered children in their care	Child being placed with foster carer	Retain 75 years from closure of the fostering file and in conjunction with the retention period for the case file of the child place (in which case the retention period maybe 100 years)	Paper file destroyed (confidential waste) Electronic file deleted	Fostering Service regulations 2011
Kinship Care Case File	Documentation relating to the families or adults who have fostered children in their care	Approval as a Kinship Carer	Retain 75 years from date of approval and in conjunction with the relevant retention period for the case file relating to the child placed	Paper file destroyed (confidential waste) Electronic file deleted	Fostering Service regulations 2011

Business Classification & Record Series Name	Description	Retention Trigger (event triggering start of retention period)	Retention Period	Disposal Action (following end of retention period)	Authority
Special Guardianship Case File	Documentation relating to the process of the special guardianship order	Special Guardianship Order being made	Retain for 75 years from date of Order	Paper file destroyed (confidential waste) Electronic file deleted	Adoption & Children Act 2002; Special Guardianship Regulations 2005; Children Act 1989
Children's Social Work files					
Child in Need (CIN) Case File	CIN: Contact and referral, or assessment with outcome of no further action	Case closing	EDD/DOB +25years	Paper file destroyed (confidential waste) Electronic file deleted	Good Practice
	Children in need (who have not been adopted or looked after and who have not been subject to a child protection enquiry).		DOB +25years	Paper file destroyed (confidential waste) Electronic file deleted	Limitation Act 1980
Child Protection Enquiry	Child Protection Enquiry's/ investigations that have resulted in no further action	Strategy discussion/S47 investigation.	DOB + 40 years	Paper file destroyed (confidential waste) Electronic file deleted	Good Practice
Private Fostering	Records containing personal data, including assessment, support plan and reviews		DOB + 75 years	Paper file destroyed (confidential waste) Electronic file	The Children (Private Arrangements for Fostering) Regulations 2005;

Business Classification & Record Series Name	Description	Retention Trigger (event triggering start of retention period)	Retention Period	Disposal Action (following end of retention period)	Authority
				deleted	Children Act 2004 Section 44
Child Protection Case file	Case management of children who have at any time been subject to a conference and / or been placed on a child protection plan		DOB + 40 years	Paper file destroyed (confidential waste) Electronic file deleted	Children Act 1989, Children Act 2004
Looked After Child Case File (including pathways case files and children deemed to be unaccompanied minors)	Childs case file	Child being a Child Looked After	DOB +75 years. If the child dies before attaining the age of 18 years, retaining 15 years from date of child's death	Paper file destroyed (confidential waste) Electronic file deleted	The Arrangement of Placement of Children regulation 2011 (reg 10). Care Planning Placement & Case Review Regulations 2010 (reg 50)
LAC Registration	Consolidated listing of children looked after in care.		Children's details on the list should be retained for D.O.B + 25yrs	Paper file destroyed (confidential waste) Electronic file deleted	Arrangements for Placement of Children (General) Regulations 1991 No 890; Section 10
Behaviour Support Services (please note that this service has been dissolved and this retention schedule is in relation to files held by the team at the point of the service being dissolved)					
Child care file – non statutory service	File containing any work undertaken by the BSS relating to an individual child	Closure of file	5 years	Paper file destroyed (confidential waste). Electronic file destroyed	Good Practice

Business Classification & Record Series Name	Description	Retention Trigger (event triggering start of retention period)	Retention Period	Disposal Action (following end of retention period)	Authority
Education Welfare					
Child care case file – statutory involvement	File containing any work undertaken by the EWO team. Namely: <ul style="list-style-type: none"> • Children missing education and penalty notices • Elective home education • Child Employment / Work Permits • Entertainment Licence (where the licence has been granted)* see below for if licence refused 	DOB	DOB + 25 years	Paper file destroyed (confidential waste). Electronic file destroyed	Limitation Act (1980) Section 2
Child care case file – non statutory involvement	File containing any work undertaken by the EWO team which has not led to statutory involvement, for example traded work with school	Date of contact	5 years from date of contact	Paper file destroyed (confidential waste). Electronic file destroyed	Good Practice
Child care case file – Entertainment Licence refused	File continuing application for licence and decision to refuse	Date of decision	Destroy once the licence has been refused	Paper file destroyed (confidential waste). Electronic file destroyed	
Educational Psychology (please note that this service has been dissolved and this retention schedule is in relation to files held by the team at the point of the service being dissolved)					
Referrals / contacts	Contacts to the Educational Psychology Service that have not led	Date of last contact	5 years from date of last contact	Paper file destroyed	Good Practice

Business Classification & Record Series Name	Description	Retention Trigger (event triggering start of retention period)	Retention Period	Disposal Action (following end of retention period)	Authority
	to a statutory piece of work being undertaken			(confidential waste). Electronic file destroyed	
Pupil Case File – non statutory Involvement	Records including assessments and advice that have not led to statutory involvement	Date of contact	5 years from the date of contact	Paper file destroyed (confidential waste). Electronic file destroyed	Good Practice
Pupil case files – statutory involvement	Records involved in assessing and providing individual support for children who have need of special education support	DOB	DOB +35 years	Paper file destroyed (confidential waste) Electronic file destroyed	Retention Guidelines for Local Authorities (RGLA)
Permanent Exclusion					
Pupil case files – statutory involvement	Records relating to the permanent exclusion of children from school	DOB	DOB +25 years	Paper file destroyed (confidential waste) Electronic file destroyed	Limitation Act 1980 (Section 2)
Early Intervention					
Any record relating to Early Intervention Panel	Referral, minutes and spread sheet of all children/young people referred to an Early Intervention Panel across Calderdale.	Year of Panel	5 years	Electronic file destroyed	Good Practice
EISA/CAF	Any files relating to a child where a CAF has been undertaken or any	DOB	DOB+25 years	Paper file destroyed	Every Child Matters: Change

Business Classification & Record Series Name	Description	Retention Trigger (event triggering start of retention period)	Retention Period	Disposal Action (following end of retention period)	Authority
	copies held centrally of a EISA that has been completed by another agency			(confidential waste). Electronic file destroyed	for Children Section 3.30; Children Act 2004
General					
Paper diary	Work diary for any worker employed	No retention trigger	No retention period – diary can be destroyed at end of calendar year	Diary destroyed (confidential waste)	Good Practice