

Retention Schedule

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Introduction

Newcastle City Council is required by the Lord Chancellor's Code of Practice on the Management of Records issued under Section 46 of the Freedom of Information Act 2000 to have and to implement a records retention and disposal schedule. This document sets out details about all the records created and kept by us, or our commissioned partners, in such a way that decisions can be made about identifying and disposing of them on a routine and timely basis.

This retention and disposal schedule has been produced in consultation with departments primarily responsible for the business activities and key stakeholders in the processes to establish the legal and regulatory requirements, and business needs on which record retention and disposal policies are based.

Scope

This retention and disposal schedule applies to all documents defined as records - 'Information created, received and maintained as evidence and information by an organisation or individual, in pursuance of legal obligations or in the transaction of business' i.e. evidence of NCC's actions, transactions, decisions and agreements.

The retention requirements listed here apply to all records irrespective of media and format, or the system(s) in which the records are held, and should be applied to all copies including backups.

Divergence from the retention and disposal schedule may be appropriate in certain circumstances. For example, a pending or actual legal action, change of legislation or regulation, or legitimate business need. Any divergence requires liaison with the Information Governance Team.

Responsibilities

Managers, team leaders and Information asset owners are responsible for ensuring:

- Record retention policies are implemented in their unit/team, supported by written procedures.
- Recordkeeping systems and arrangement of records enable identification of records due for disposal.
- Records due for disposal are routinely identified and reviewed to ensure they are no longer required.
- Divergence from Records Retention and Disposal Policy is authorised and the Information Governance Team is notified of changes.
- Staff dispose of records only in accordance with policies set out in this document.
- Records are disposed of appropriately considering their sensitivity, security classification and the media and format(s) in which they are held in line.
- ICT Equipment and storage media are disposed of securely ensuring all records, data and information are removed in such a way that it is not recoverable.
- Records of potential historic interest or research value are identified and transferred with agreement to Newcastle City Council Archive Service.
- Evidence of the disposal process is kept

All staff are responsible for:

- Following procedures and guidance for managing, retaining and disposing of records.
- Only disposing of records in accordance with the requirements outlined in this document (if authorised to do so).
- Ensuring that any proposed divergence from records retention and disposal policies is authorised.

Roles & Responsibilities

- All employees have a responsibility to record and use information in line with the law, best practice, and professional responsibilities.
- The Informatics Manager is responsible for data and information management for the directorate.

- Informatics manage core Case Management systems, arrange access and training and manage changes to business processes.
- Service Managers and Heads of Service / Assistant Directors have information asset responsibilities for their service areas, with oversight from the Directorate Leadership Team.
- The Caldicott Guardian is responsible for ensuring that the Caldicott Principles are promoted and adhered to.
- The Freedom of Information team within ASC&IS supports responses to requests under the FOI.
- Various corporate teams (HR, Finance, IG) support and enable the directorate in managing their records.

Legal requirements

Each entry in the retention and disposal schedule details the specific legislation, regulations, guidelines or codes of practice that stipulate or recommend how long records must be kept before they are disposed of. Where no such legislation or guidance exists, NCC Directorates have been consulted to determine the retention requirements that best suit each business activity.

Some overarching legislation requires that records be kept for a certain amount of time and applies to all Directorates and sections of the City Council.

These include:

GDPR and Data Protection Act 2018

Principle 5 states that:

Personal data shall be kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed;

The Freedom of Information Act 2000

The Act requires us to make information available to the public unless specific exemption(s) apply. The Code of Practice issued under 46 of the Act sets out rules on how we should manage records and information, including responsibilities on all staff to implement records retention and disposal schedules.

The Local Government Act 2000

S.22 requires that written records of a local authority executive, or a committee of such an executive are be made available to the public.

Independent inquiry into child sexual abuse

For more info visit Tri-X [Case Records and Retention \(proceduresonline.com\)](http://proceduresonline.com).

On Thursday 12 March 2015 the Home Secretary established a statutory inquiry under the 2005 Inquiries Act with the aim of conducting an overarching national

review of the extent to which institutions in England and Wales have discharged their duty of care to protect children against sexual abuse.

The Inquiry is independent of government. It is supported by a Panel, Victims and Survivors Consultative Panel, and other expert advisers. The Inquiry will cover England and Wales. A wide range of public institutions will be investigated including local authorities, the police, the armed forces, schools, hospitals, children's homes, churches, and charities.

On 2nd July 2015 Justice Goddard wrote to John Henderson, as well as every Chief Executive of a Local Authority in England and Wales, requesting that the organisation:

'retain any and all documents; correspondence; notes; emails and all other information – however held – which contain or may contain content pertaining directly or indirectly to the sexual abuse of children or to child protection and care. For the purposes of this appendix, the word "children" relates to any person under the age of 18.'

We must not destroy, and must make available for inspection, all reports, reviews, briefings, minutes, notes and correspondence in relation to –

- allegations (substantiated or not) of individuals, organisations, institutions, public bodies or otherwise who may have been involved in, or have knowledge of, child sexual abuse, or child sexual exploitation
- allegations (substantiated or not) of individuals having engaged in sexual activity with, or having a sexual interest in, children
- institutional failures to protect children from sexual abuse or other exploitation
- statutory responsibilities for the care of children in public or private care
- the development of policy on child protection
- the development of legislation on child protection
- the determination of the award of Honours to persons who are now demonstrated to have had a sexual interest in children or are suspected of having had such an interest.

All of these document types – in whatever format – must be “retained pending further requests from the Inquiry”

Although NCC records retention schedules are very clear on the destruction dates of files, the instructions received by the Inquiry constitute a legal hold as defined by

section 12.3 of the code of practice issued under Section 46 of the Freedom of Information Act. As such all records that fall within the above categories are retained, and not destroyed, until we are directed otherwise.

For any advice on clarification on whether records can be destroyed or are covered by the Inquiry retention hold, consult the Information Governance Team.

NHS Record Management Code of Practice (RMCoP)

Adult Social Care services are subject to the NHS Records Management Code of Practice (RMCoP). This sits alongside a range of corporate policies available on the intranet such as:

- Freedom of Information
- Data Protection & GDPR
- Information Security
- Records Management

This document is designed to set out the context which the RMCoP and other policies apply within Adult Social Care & Integrated Services.

Scope

The ISO standard covers: "Information created, received, and maintained as evidence and as an asset by an organisation or person, in pursuance of legal obligations or in the transaction of business."

Informed by the Record Management Code of Practice which applies to Adult Social Care (as well as NHS records) and includes:

- adult service user records who receive social care support
- jointly held records
- records held as part of a Shared Care Records programme
- records held by local authorities such as public health records, contraceptive and sexual health service records
- staff records
- complaints records
- corporate records - administrative records relating to all functions of the organisation

Regulation 17 under the Health and Social Care Act 2008 requires that health and care providers must securely maintain accurate, complete and detailed records for patients or service users, employment of staff and overall management.

Destruction of Records

Records will only be destroyed once they reach the end of their retention period.

Records will be destroyed using the following procedures:

Method of destruction	Paper based records: Micro Cross Cut Shredding, or incineration using provided confidential waste bins. Hard drive disks: Multi Pass Pattern wiping, disintegration or incineration CD-RW/DVD-RW, Flash Drives and USBs, other removable data storage methods: Abrasion, disintegration, or incineration
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References

- Record Management Code of Practice [Records Management Code of Practice 2021 – NHSX](#)
 - Public Records Act 1958 (<http://www.legislation.gov.uk/ukpga/Eliz2/6-7/51>)
 - Section 224 of the Local Government Act 1972 (<http://www.legislation.gov.uk/ukpga/1972/70/contents>)
 - Code of Practice on Record Keeping (<https://ico.org.uk/media/for-organisations/documents/1624142/section-46-code-of-practice-records-management-foia-and-eir.pdf>)
 - Data Protection Act 2018 (<https://www.gov.uk/government/publications/data-protection-law-eu-exit>)
 - CQC guidance on regulation 17 of the Health & Social Care Act (<https://www.cqc.org.uk/guidance-providers/regulations-enforcement/regulation-17-good-governance>)
 - Social Work England professional Standards (<https://www.socialworkengland.org.uk/standards/professional-standards/>)
 - The Caldicott Principles (<https://www.gov.uk/government/publications/the-caldicott-principles>)
 - International Organization for Standardization (ISO) 15489-1:2016 Information and documentation – Records Management (http://www.iso.org/iso/catalogue_detail?csnumber=62542)
 - Health Records and Information Management (IHRIM) Good Practice Guidance 2020 (<https://www.ihrim.co.uk/ihrim-documents-for-download-2/quality-handbook-a-guidelines/502-managing-incorrect-information-in-health-records-ihrim-good-practice-guidance-2020>)
 - The Cabinet Office e-Government Metadata Standard (<https://www.nationalarchives.gov.uk/documents/information-management/egms-metadata-standard.pdf>)
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Retention at a glance

This section is intended to provide a quick reference guide to records retention periods. However, it does not give the full details of retention requirements, triggers, disposal actions and codes of practice, nor the authorities requiring or guiding retention periods. For full details please consult the Retention and Disposal Policies section of this schedule.

Adult Health and Social Care

- **Accommodation Support** - 6 years after no longer in receipt of service
- **Case Management** - 6 years after no longer in receipt of services
- **Community Living and Disabilities Support** - 6 years after no longer in receipt of service
- **Mental Health Support** - 20 years after end of treatment or service provision or 8 years after death
- **Vulnerable Adult Protection and Support** - 6 years after no longer in receipt of service

Children and families

- **Adoptions Management** - 100 years from date of adoption order
- **Case Management** - Until service user's 25th birthday
- **Children in Need and Education Support** - Until service user's 25th birthday
- **Foster Carer Supervision and Support (Unsuccessful or withdrawn applicants)** - 3 years from decision or withdrawal
- **Foster Carer Supervision and Support (Successful applicants)** - 10 years from termination of approval
- **Looked After Children** - Until service user's 75th birthday
- **Residential Homes Management and Administration** - 15 years from date created
- **Safeguarding** - Until service user's 25th birthday
- **Targeted Intervention and Support** - Until service user's 25th birthday
- **Youth Offender Support and Supervision** - Until service user's 25th birthday

Education

- **Admissions and Transfers Processing** - 6 years after end of academic year
- **Appeals Administration** - 6 years after end of appeal process
- **Children in Need and Education Support** - Until service user's 25th birthday
- **Educational Psychology** - Retain records 33 years from date of birth
- **Governor Details and Appointments** – 6 years after appointment ceases
- **Safeguarding** - Until service user's 25th birthday
- **School Capacity Planning** - 6 years after review, decision not to proceed or completion of implementation
- **School Closures** – 15 years from closure of the establishment
- **Special Educational Needs** - Retain records 33 years from date of birth
- **SEN Assessment and Support** - Retain records 33 years from date of birth
- **Targeted Intervention and Support** - Until service user's 25th birthday

Active Inclusion, Finance and Commissioning & Procurement

- **Accounting and Reporting** - 6 years after end of financial year
- **Banking Administration** - 6 years after end of financial year
- **Budgets Management** - 6 years after end of financial year
- **Business Continuity** - 6 years after end of planning period or strategy superseded
- **Charities and Trusts Administration (Administrative records)** - 6 years after end of financial year
- **Charities and Trusts Administration (Deeds and instruments)** - Transfer after wound-up
- **Financial Planning** - 6 years after end of planning period or strategy superseded
- **External Funding Acquisition** - Minimum 6 years after end of funding period or as required by funding body
- **Grant Funding Administration** - Minimum 6 years after end of funding period or as required by funding body
- **Homelessness Provision** - Retain records 6 years after last action on record
- **Hostel Provision** - Retain records 6 years after last action on record
- **Housing Application** - Retain records 6 years after last action on record
- **Housing Allocation** - Retain records 6 years after last action on record
- **Income Processing** - 6 years after end of financial year
- **Loans and Leasing Administration** - 6 years after settlement or end of lease
- **Payroll Administration** - 6 years after end of financial year

- **Pension Fund Management** - 6 years after end of scheme
- **Pension Scheme Administration** - 6 years after death of last known beneficiary of member
- **Procurement (Unsuccessful tenders)** - 1 year after contract awarded
- **Procurement (Awarded contracts)** 6 /12 / 15 years after end of contract
- **Purchasing and Payment Processing** - 6 years after end financial year
- **Taxes Management** - 6 years after end of tax year

Retention and disposal policies

Policies contained within this schedule give details of records retention periods, criteria triggering the start of the retention period or disposal action, disposal action and the authority, for example, legislation, regulation, codes of practice or guidance requiring or forming the basis for keeping records.

Divergence from the retention and disposal schedule may be appropriate in certain circumstances. For example, a pending or actual legal action, investigation or inquiry, change of legislation or regulations, or to support legitimate business need.

Any divergence from policies contained in this schedule requires liaison with the Information Governance Team.

Adult health and care

Accommodation support

- **Retention:** Retain records 6 years after no longer in receipt of accommodation services
- **Disposal:** Destroy
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
- **Scope:** Placement planning, residential and nursing care, supported accommodation and lodgings provision

Case management

- **Retention:** Retain records 6 years after longer in receipt of services
- **Disposal:** Destroy
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
- **Scope:** Management and administration of adult health and care cases including enquiry processing, referral, needs assessment, care and support planning, key information recording.

Community living and disability support

- **Retention:** Retain records 6 years after no longer in receipt of community and disability services
- **Disposal:** Destroy
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
- **Scope:** Collection of benefits, day care and meals, administration of personal allowances, housing needs and adaptation support, personal care, occupational therapy, learning disabilities, rehabilitation, provision of equipment and carer support Excluding education support

Mental health support

- **Retention:** Retain records 20 years after no longer in receipt of services, or 8 years after the patient's death if the patient died while receiving treatment
- **Disposal:** Destroy
- **Authority:** NHS Records Management Code of Practice for Health and Social Care 2016
- **Scope:** Mental health case records including psychological assessment records

Vulnerable adult protection and support

- **Retention:** Retain records 6 years after no longer in receipt of protection and support services.
- **Disposal:** Destroy
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
- **Scope:** Investigation and protection planning, guardianship and receivership administration

Children and families

Adoptions Agency

- **Retention:** An adoption agency must keep the child's case record and the prospective adopter's case record for such period as it considers appropriate.
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** The Adoption Agencies Regulations 2005, Regulation 40 and Adoption Statutory Guidance 2014.

Scope: An adoption agency must keep the child's case record and the prospective adopter's case record for such period as it considers appropriate.

Where an adoption order is not made and the agency decides to close the child's adoption case record, it should transfer the information from this record to the looked after case record, in which case see Looked after Children Section.

If the child has never been looked after, the agency should destroy the records when no further action is necessary. An example of when this may be appropriate is if the possibility of adoption of a baby was discussed before the child's birth, but the baby remained with the birth parents.

Adoptions management

- **Retention:** Retain records for 100 years from date of adoption order. For Adoption records where an Adoption Order is made before 30 December 2005 - Adoption Agencies Regulations 1983, regulation 14 – Retain Records for at least **75 years** from the date of the adoption order.
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Requirement to maintain “Section 56 information” taken from The Disclosure of Adoption Information (Post- Commencement Adoptions) Regulations 2005.
- **Scope:** The guidance on adoption for local authorities published by the DfE in 2014 specifies “Section 56” information that is covered by the 100 year retention rule as being:
 - Identifying information about the child, the birth parents, other birth relatives, adoptive parents and any other people involved in the adoption such as foster carers and professionals
 - Background information including the child's birth and medical history, education, and development

- Information supplied by the birth parent and other birth relatives including photographs, and letters
- Information supplied by the adoptive parent(s) after the adoption
- Information supplied by any foster carer
- Information that the adopted person has asked to be kept, this would include their views on any contact
- A copy of the child's permanence record (CPR)
- The prospective adopters' report
- Written record of the proceedings of the adoption panel and the agency decision
- Any consent to placement and placement orders and any withdrawal of consent
- The Adoption Placement Report
- The Adoption Support Plan
- The Adoption Placement Plan
- Any other information the agency considers necessary to keep in addition
- Care leaver support records

Children's Case management (including for Children accommodated in children's homes)

- **Retention:** Retain records until service user's 25th birthday or if a child dies before age eighteen for 6 years from the date of death (unless Looked After, SEN, or Adopted - see other entries)
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
- **Scope:** Management and administration of children & families cases, including: enquiry processing, referral, needs assessment, care and support planning, key information recording, serious case reviews, children in need, child protection

Children in need and education support

- **Retention:** Retain records until service user's 25th birthday or if a child dies before age eighteen for 6 years from the date of death (unless Looked After, SEN, or Adopted - see other entries)
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
- **Scope:** Parent and family education support, childcare provision and monitoring, support of gifted and talented children, post-16 support, physical and sensory disability support, psychological and behavioural support and assessment

Foster carer supervision and support

- **Retention:** Retain application and assessment records for unsuccessful applicants 3 years from application withdrawal or refusal. Retain records of successful applicants 10 years end of last placement is terminated after carer ceases to provide care.
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Foster Placement (Children) Regulations 1991 s.14 / Fostering Services Regulations 2002 s.32
- **Scope:** Foster carer enquiry, application and assessment records, case files and statutory register maintenance

Looked after children support

- **Retention:** Retain records until service user's seventy fifth birthday or if the child dies before the age of eighteen, for 15 years from the date of death.
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Arrangement for the Placement of Children (General) Regulations 1991 s.9 and Care Planning, Placement and Case Review (England) Regulations 2010 s.50
- **Scope:** The Care Planning, Placement and Case Review (England) Regulations 2010 s.50 specifies (in s.49 – "Establishment of Records") that the case records of a Looked After Child, retained until the child's seventy fifth birthday, must include:

- care plan, including any changes made to the care plan and any subsequent plans
- reports obtained under regulation 7
- any other document created or considered as part of any assessment of child's needs, or of any review of child's case
- any court order relating to c
- details of any arrangements that have been made by the responsible authority with any other local authority or with an independent fostering agency under regulation 26 and Schedule 5, or with a provider of social work services, under which any of the responsible authority's functions in relation to care are discharged by that local authority or independent fostering agency or provider of social work services In addition
- Care leaver support records

Residential homes management and administration

- **Retention:** Retain records 15 years from created
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Children's Homes Regulations 1991 s.17
- **Scope:** Management and administration of children's residential homes including records and registers relating to multiple residents Including: records specified within schedule 3 of the regulations – Admission and discharge, accidents, administration of medicinal products, money and valuable deposited for safekeeping, disciplinary records and daily log of events. In addition record of persons employed by or working at children's home, duty rotas, record of other persons resident at the home and accounts.

Safeguarding

- **Retention:** Retain records until service user's twenty fifth birthday (unless Looked After or Adopted, see other entries)
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services.
- **Scope:** Child Protection administration, referrals and management, child sexual exploitation investigation, allegations and causes for concern about carers / adopters, medical arrangements, court case preparation and orders, liaison with police and other agencies.

SEN assessment and support

- **Retention:** Retain records 33 years from date of birth
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and requirements of Children and Families Act 2014 s.46
- **Scope:** Special Educational Needs (SEN) assessment and statementing including Education Health Plans (EHC) and education support.

Targeted intervention and support

- **Retention:** Retain records until service user's twenty fifth birthday (unless Looked After, SEN, or Adopted - see other entries).
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
- **Scope:** Eligibility and assessment records, requests for support, consent, children missing education, intensive prevention

Youth offender supervision and support

- **Retention:** Retain records until service user's twenty fifth birthday
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5. and recommended by the Youth Justice Board Guidance 2014
- **Scope:** Young offender case management, bail and remand supervision, education, health, safeguarding assessment and intervention, and public protection assessment intensive supervision and surveillance, and restorative justice and reparation management, parent and carer support

Education

Admissions and transfers processing

- **Retention:** Retain records 6 years after end of academic year
- **Disposal:** Destroy
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of tort under Limitation Act 1980 s.2
- **Scope:** Primary, secondary school admissions and transfers Excluding appeals processing

Appeals administration

- **Retention:** Retain records 6 years after end of appeals process
- **Disposal:** Destroy
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of tort under Limitation Act 1980 s.2
- **Scope:** Administration of appeals panels and council case preparation including school exclusions, admissions, Statementing and home-school transport appeals, excluding advocacy and parental support relating to appeals processes

Children in need and education support

- **Retention:** Retain records until service user's 25th birthday or if a child dies before age eighteen for 6 years from the date of death (unless Looked After, SEN, or Adopted - see other entries)
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
- **Scope:** Parent and family education support, childcare provision and monitoring, support of gifted and talented children, post-16 support, physical and sensory disability support, psychological and behavioural support and assessment

Educational Psychology

- **Retention:** Retain records 33 years from date of birth
- **Disposal:** Destroy
- **Authority:** NCC business need
- **Scope:** Statutory Limitation Act 1980 - At review check to see if client has been a looked after child. If yes, follow the guidelines for looked after children in Children's Social Care. If not, then record can be destroyed.

Governor Appointments and Details

- **Retention:** Date appointment ceases + 6 years
- **Disposal:** Destroy
- **Authority:** NCC business need
- **Scope:** Records relating to appointments and terms of office of serving governors.

Safeguarding

- **Retention:** Retain records until service user's 25th birthday (unless Looked After or Adopted, see other entries)
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services.
- **Scope:** Child Protection administration, referrals and management, child sexual exploitation investigation, allegations and causes for concern about carers / adopters, medical arrangements, court case preparation and orders, liaison with police and other agencies.

School capacity planning

- **Retention:** Retain records 6 years after date of end of review, decision not to proceed or completion of Implementation
- **Disposal:** Destroy
- **Authority:** NCC business need
- **Scope:** Review of school places including development and submission of proposals for expansion or reduction in capacity of local authority maintained schools and changes to school catchment areas

School Closures

- **Retention:** Retain records 15 years from closure
- **Disposal:** Destroy
- **Authority:** Statutory Limitation Act 1980
- **Scope:** Management and administration of records and registers.

Special Educational Needs (SEN)

- **Retention:** Retain records 33 years from date of birth
- **Disposal:** Destroy
- **Authority:** NCC business need
- **Scope:** Statutory Limitation Act 1980 - At review check to see if client has been a looked after child. If yes, follow the guidelines for looked after children in Children's Social Care. If not, then record can be destroyed.

SEN assessment and support

- **Retention:** Retain records 33 years from date of birth
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and requirements of Children and Families Act 2014 s.46
- **Scope:** Special Educational Needs (SEN) assessment and statementing including Education Health Plans (EHC) and education support.

Targeted intervention and support

- **Retention:** Retain records until service user's 25th birthday (unless Looked After, SEN, or Adopted - see other entries).
- **Disposal:** Destroy (See IICSA retention hold advice p.4)
- **Authority:** Based on a 6 year timescale in which an action can be brought in the case of a simple contract under Limitation Act 1980 s.5 and recommended by the DoH Guidance to Social Services
- **Scope:** Eligibility and assessment records, requests for support, consent, children missing education, intensive prevention

Active Inclusion, Finance, Commissioning and Procurement

Accounting and reporting

- **Retention:** Retain records 6 years after the end of the financial year in which records created
- **Disposal:** Destroy
- **Authority:** Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3
- **Scope:** Statutory, corporate and management accounts, abstracts, ledgers, budgetary control records.

Banking administration

- **Retention:** Retain records 6 years after the end of the financial year in which records created
- **Disposal:** Destroy
- **Authority:** Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3
- **Scope:** Bank accounts administration including instruction and payments, bank deposits, account monitoring and reconciliation

Budgets management

- **Retention:** Retain records 6 years after the end of the financial year in which records created
- **Disposal:** Destroy
- **Authority:** Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3
- **Scope:** Management of capital and revenue budgets

Business continuity planning

- **Retention:** Retain records 6 years after superseded
- **Disposal:** Destroy
- **Authority:** NCC business need
- **Scope:** Identification of, and planning to mitigate risks and response to, and recovery from, incidents affecting business activities including emergency incident planning, operation and review of emergency exercises, incident response and recovery management, post incident review records

Charities and trusts administration

- **Retention:** Retain administrative records 6 years after the end of the financial year in which records created / Retain trust deeds and charity and endowment instruments until charity, trust or endowment wound up
- **Disposal:** Destroy Transfer records to Archives Service.
- **Authority:** SCC Business need based on 6 year period for which annual reports and all supporting documents must be retained under Charities Act 2011 s.165 / SCC business need
- **Scope:** Administration of charity, trust and endowment for which SCC acts as trustee including annual reports, deeds, instruments, winding-up records

External funding acquisition

- **Retention:** Retain records a minimum of 6 years after the end of funding period unless otherwise specified by external funding body
- **Disposal:** Destroy
- **Authority:** Funding body requirements
- **Scope:** Identification of funding opportunities and resources, development and submission of bids, management of funding resources, monitoring and reporting of outcomes to funding body Excluding grant funding administration

Financial planning

- **Retention:** Retain records 6 years after the end of planning period or strategy superseded
- **Disposal:** Destroy
- **Authority:** Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3
- **Scope:** Strategic medium and long term financial planning

Grant funding administration

- **Retention:** Retain records minimum of 6 years after end of funding or monitoring period or period specified by funding body
- **Disposal:** Destroy
- **Authority:** SCC Business need or funding body requirements
- **Scope:** Processing and assessment of applications for grant funding, administration of funding payments, financial and outcome monitoring and reporting

Homelessness

- **Retention:** Retain records 6 years after last action on record
- **Disposal:** Destroy
- **Authority:** Limitation Act 1980 (Section 2)
- **Scope:** Records relating to the process of managing applications from those people who are homeless

Hostel Providers

- **Retention:** Retain records 6 years after last action on record
- **Disposal:** Destroy
- **Authority:** Limitation Act 1980 (Section 2)
- **Scope:** Records relating to hostel providers

Housing Applications

- **Retention:** Retain records 6 years after last action on record
- **Disposal:** Destroy
- **Authority:** Limitation Act 1980 (Section 2)
- **Scope:** Applications for Housing register including supporting information

Housing Allocations

- **Retention:** Retain records 6 years after last action on record
- **Disposal:** Destroy
- **Authority:** Limitation Act 1980 (Section 2)
- **Scope:** All records relating to the allocation of housing

Income processing

- **Retention:** Retain records 6 years after the end of the financial year in which records created
- **Disposal:** Destroy
- **Authority:** Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3
- **Scope:** Processing income received for supply of goods and services, posting slips, tabulations, income records, receipt books, debtor accounts, cash books, till rolls

Loans and leasing administration

- **Retention:** Retain records 6 years after end lease period or settlement of loan
- **Disposal:** Destroy
- **Authority:** SCC business need
- **Scope:** Processing of staff loan and leasing applications, administration of loans, repayments and leasing

Payroll administration

- **Retention:** Retain records 6 years after the end of the financial year in which records created
- **Disposal:** Destroy
- **Authority:** Taxes Management Act 1970 s.34
- **Scope:** Transactional HR records including expenses and allowances claims, changes to pay, increments, loss of earnings, statutory and non-statutory payments and deductions, additional hours claims redundancy payments, income tax and national insurance records

Pension fund management

- **Retention:** Retain records 6 years after the end of scheme
- **Disposal:** Destroy
- **Authority:** The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15
- **Scope:** SCC pension fund management records including fund management strategy, policy and guidance influencing decisions Excluding accounting and reporting

Pension scheme administration

- **Retention:** Retain records 6 years after death of last known beneficiary of member
- **Disposal:** Destroy
- **Authority:** The Retirement Benefits Schemes (Information Powers) Regulations 1995 s.15
- **Scope:** Records of member and employer pension contributions, member notifications administration of pension benefit payments to scheme members, repayment of contributions to members withdrawing from scheme including copies of legislation, regulation, guidance notices, policies affecting

contributions and payments (Note: documents may that may not be readily available from other sources in the long-term)

Procurement

- **Retention:** Retain unsuccessful tenders 1 year after contract award decision / Retain awarded contract records 6 years (signed – ‘simple contracts’) 12 years (under seal) 15 years (conveyancing) after end of contract, substantial completion, or end of overage or clawback period as applicable
- **Disposal:** Destroy
- **Authority:** Retention of unsuccessful tenders – SCC business need / The authority for awarded contracts depends on the nature or value of contract Limitation Act 1980 s.5 or Limitation Act 1980 s.8 or Limitation Act 1980 s.14B
- **Scope:** Pre-tender planning, tender process , contract award and contract management including pre-qualification questionnaires, requests for information, invitations to tender, tender evaluation, tender negotiation, supplier approval, bids and correspondence

Purchasing and payment processing

- **Retention:** Retain records 6 years after the end of the financial year in which records created
- **Disposal:** Destroy
- **Authority:** Companies Act 2006 and Value Added Tax Act 1994 s.6 and Finance Act 1998 Sch.18 pt. 3
- **Scope:** Orders, credit notes, creditor invoices, delivery notes, payment records, records of advances

Taxes management

- **Retention:** Retain records 6 years after the end of the tax year to which records relate
- **Disposal:** Destroy
- **Authority:** Taxes Management Act 1970 s.34
- **Scope:** Payment of collected taxes and National Insurance contributions to H.M. Revenue and Customs and claims and negotiation of refunds for e.g. overpayment Excluding transactional HR records

Welfare Rights Advice

- **Retention:** Retain records 6 years after last action on record
- **Disposal:** Destroy
- **Authority:** Limitation Act 1980 (Section 2)
- **Scope:** Records relating to advice given