



# Adult services directorate retention schedule

Last Modified February 09, 2021



## Adult services

Type of record	Description of record and examples	Storage media	Retention and disposal	Legislation or regulations
Older Adults (Aged 65+) - Initial Contact	Initial contact records containing name, address and additional information.	Electronic and paper.	2 years after last contact.  Secure disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Older Adults (Aged 65+) - Information	Provision of information and advice where there are no commissioned services.	Electronic and paper.	2 years after last contact.  Secure disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Older Adults (Aged 65+) - Case Management	Case management records including referral details, needs assessment, care and support plans, case notes, safeguarding investigations, Direct Payments agreements, Mental Health assessments, psychology reports.	Electronic and paper.	8 years after end of care or client last seen.  Secure disposal.  Records for persons who have been detained under the Mental Health Act 1983 are retained whilst care is ongoing or 8 years after care has been formally ended by the Council and the NHS, or the client has died. Review before disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.

Older Adults (Aged 65+) - Hospital Discharge	Any additional records relating to a hospital discharge. May include some health records.	Electronic and paper.	8 years after end of care or client last seen.  Secure disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Adults with a Learning Disability - Initial Contact	Initial contact records containing name, address and additional information.	Electronic and paper.	2 years after last contact.  Secure disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Adults with a Learning Disability - Information	Provision of information and advice where there are no commissioned services.	Electronic and paper.	2 years after last contact.  Secure disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Adults with a Learning Disability - Case Management	Case management records including referral details, needs assessment, care and support plans, case notes, safeguarding investigations, Direct Payments agreements, Mental Health assessments, psychology reports.	Electronic and paper.	8 years after end of care or client last seen.  Secure disposal.  Records for persons who have been detained under the Mental Health Act 1983 are retained whilst care is ongoing or 8 years after care has been formally ended by the Council and the NHS, or the client has died. Review before disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Adults with a Physical Disability - Initial Contact	Initial contact records containing name, address and additional information.	Electronic and paper.	2 years after last contact.  Secure disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
				Care Act 2014;

Adults with a Physical Disability - Information	Provision of information and advice where there are no commissioned services.	Electronic and paper.	2 years after last contact. Secure disposal.	NHS Records Management Code of Practice for Health and Social Care 2016.
Adults with a Physical Disability - Case Management	Case management records including referral details, needs assessment, care and support plans, case notes, safeguarding investigations, Direct Payments agreements, Mental Health assessments, psychology reports.	Electronic and paper.	8 years after end of care or client last seen. Secure disposal.  Records for persons who have been detained under the Mental Health Act 1983 are retained whilst care is ongoing or 8 years after care has been formally ended by the Council and the NHS, or the client has died. Review before disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Adults with Mental Health Issues - Initial Contact	Initial contact records containing name, address and additional information.	Electronic and paper.	2 years after last contact. Secure disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Adults with Mental Health Issues - Information	Provision of information and advice where there are no commissioned services.	Electronic and paper.	2 years after last contact. Secure disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Adults with Mental Health Issues - Case Management	Case management records including referral details, needs assessment, care and support plans, case notes, safeguarding investigations, Direct Payments agreements, Mental Health assessments, psychology reports.	Electronic and paper.	8 years after end of care or client last seen. Secure disposal.  Records for persons who have been detained under the Mental Health Act 1983 are retained whilst care is ongoing or 8 years after care has been formally ended by the Council and the NHS, or the client has died. Review before disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.

Carers - Initial Contact	Initial contact records containing name, address and additional information.	Electronic and paper.	2 years after last contact. Secure disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Carers - Information	Provision of information and advice where there are no commissioned services.	Electronic and paper.	2 years after last contact. Secure disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Carers - Case Management	Case management records including referral details, needs assessment, support plans, relevant case notes, safeguarding investigations if applicable.	Electronic and paper.	8 years after end of care or client last seen. Secure disposal.  Records for persons who have been detained under the Mental Health Act 1983 are retained whilst care is ongoing or 8 years after care has been formally ended by the Council and the NHS, or the client has died. Review before disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Direct Payments - Initial Contact	Initial contact records containing name, address and additional information.	Electronic and paper.	2 years after last contact. Secure disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Direct Payments - Information	Provision of information and advice where there are no commissioned services.	Electronic and paper.	2 years after last contact. Secure disposal.	Care Act 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
				Care Act

Direct Payments - Case Management	Case management records including referral details, care and support plans, case notes, record of decision and Direct Payments agreements.	Electronic and paper.	8 years after end of care or client last seen.  Secure disposal.  Records for persons who have been detained under the Mental Health Act 1983 are retained whilst care is ongoing or 8 years after care has been formally ended by the Council and the NHS, or the client has died. Review before disposal.	2014;  The Care and Support (Direct Payments) Regulations 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Direct Payments - Financial Records	All financial records relating to a client including copies of bank statements, copy invoices, payroll records. Required for audit of client's Direct Payments account.	Electronic and paper.	Paper - returned to client after audit.	Care Act 2014;  The Care and Support (Direct Payments) Regulations 2014;  NHS Records Management Code of Practice for Health and Social Care 2016.
Care and Support Provider Services (ARC, Coopers Way, Keats, Langdale, Phoenix, Extra Support, Gloucester Avenue and Shared Lives) - Financial Records	Client's own financial records including finance log books, invoices, receipts, bank statements and financial assessments.	Paper.	6 years plus current year.  Secure disposal.	Value Added Tax Act 1997 Sch 11, part 6.  Limitation Act 1980;  HMRC Compliance Handbook Manual CH15400.
Care and Support Provider Services - Operational Management	Operational management data (not held in main system).  Client details, visitor signing in sheets, admissions and discharge records, communication books.	Electronic and paper.	3 years from date of last entry.  Secure disposal.	Care Home Regulations 2001, section 17.
Care and Support Provider Services - Attendance Records	Operational records detailing attendance.	Electronic.	8 years after end of care or client last seen.  Secure disposal.	NHS Records Management Code of Practice for Health and Social Care

				2016.
Care and Support Provider Services - Medical Equipment	Inspection and maintenance logs for medical equipment and devices.	Electronic and paper.	11 years after decommissioning equipment.  Destroyed/deleted.	NHS Records Management Code of Practice for Health and Social Care 2016.
Care and Support Provider Services - Serious Accidents	Serious accident and incidents reports including names and details of accident/incident.	Electronic and paper.	20 years after accident/incident logged.  Secure disposal.	Health & Safety Act;  NHS Records Management Code of Practice for Health and Social Care 2016.
Care and Support Provider Services - Other Accidents	Other Accident and incidents reports including names and details of accident/incident.	Electronic and paper.	10 years after accident/incident logged.  Secure disposal.	Health & Safety Act;  NHS Records Management Code of Practice for Health and Social Care 2016.
Care and Support Provider Services - Duty Rosters	Copies of staff duty rosters.	Electronic and paper.	6 years after close of financial year.  Secure disposal.	NHS Records Management Code of Practice for Health and Social Care 2016.
Care and Support Provider Services - Medications Management	Records detailing the management of medications. Includes names and health related information.	Electronic and paper.	7 years after end of care or client last seen.  Secure disposal.	NHS Records Management Code of Practice for Health and Social Care 2016.
Home Care Rosters	Copies of staff duty rosters for those working in the Home Care team.	Electronic.	6 years after close of financial year.  Secure disposal.	NHS Records Management Code of Practice for Health and Social Care 2016.

Home Care Client Visit Files	Visit records in client's homes including date/times and service provided during each visit.	Paper.	Retrieved from client's home when contact ceases.  Archived for 8 years in line with main records.  Secure disposal.	NHS Records Management Code of Practice for Health and Social Care 2016.
Vitaline Service - Clients	Details of clients including their emergency contact/NOK contacts.	Electronic.	6 years after last contact.  Secure disposal.	Limitation Act 1980, Section 5.
Vitaline Service - Contracts	Copies of contracts signed with clients or their representatives.	Electronic.	6 years after last contact.  Secure disposal.	Limitation Act 1980, Section 5
Vitaline Service - Equipment	Records of equipment provided to clients and the inspection records for the equipment.	Electronic.	6 years after last contact.  Secure disposal.	Limitation Act 1980, Section 5
Volunteer Service	Details of volunteers including names, addresses, and volunteer role. May include relevant checks such as DBS.	Electronic.	Until superseded or they are no longer a registered volunteer.  Secure disposal.	
Contracts	Copies of contracts issued. Will include company contract details. May include client details if for individual clients.	Electronic and paper.	6 years after end date or termination of contract.  Secure disposal.	Limitation Act 1980, Section 5
Contract Management and Monitoring	Copies of issues logs, CQUIN data, performance and quality data, medicines management reports where appropriate and Dementia Training data.	Electronic.	6 years after end date or termination of contract.  Secure disposal.	Limitation Act 1980, Section 5
Bed Vacancies	Vacancy lists showing beds available in care homes.	Electronic.	Until superseded.  Deleted.	
Contract Management	Data about managing poor performance and copy of suspension list.	Electronic and paper.	14 years after end date or termination of contract.  Secure disposal.	NHS Records Management Code of Practice for Health and Social Care 2016.
Strategic Commissioning Documentation	Copies of public documents including strategies, plans, statements and reports.	Electronic.	Life or organisation  Deleted.	NHS Records Management Code of Practice for Health and Social Care 2016.
				NHS Records

Public Consultation	Records of public consultation undertaken for strategic commissioning. Contains contact details and views of consultees.	Electronic and paper.	5 years after consultation exercise.  Secure disposal.	Management Code of Practice for Health and Social Care 2016.
Deprivation of Liberty Records (DoLS)	Records for DoLS cases including personal and sensitive personal data of clients, reason for DoLS and decisions made.	Electronic and paper.	8 years after end of care or client last seen.  Secure disposal.	The Deprivation of Liberty Safeguards, amendment to the Mental Capacity Act 2005.
Asylum Seekers Records	Details of asylum seekers and records of decisions made for care and support where the asylum seeker is lawfully within England and Wales.	Electronic and paper.	8 years after end of support or last seen.  Secure disposal.	National Assistance Act 1948, Section 21;  NHS and Community Care Act 1990, Section 47.
Social Worker's Diaries/Notes	Copies of Social Workers diaries or notes recorded during the course of their work/required for their role.	Paper.	Until no longer of effective operational use or transferred to the electronic client record.  Secure disposal.	
People in a Position of Trust records (PiPoT) and Disclosure and Barring Service Requests from Police	Records maintained by the designated LADO (Local Authority Designated Officer) regarding allegation made about an adult, who may or may not be working with children or other adults.  Will contain the person's name, role, and work locations, details of allegation or serious concern (proven, or unproven during investigation period).	Electronic.	Until the person has reached normal retirement age or 10 years from the date of the allegation if that is longer.  Secure disposal.	Children Act 2004;  Education Act 2002, section 175;  Statutory guidance 'Working Together to Safeguard Children'.
Packages of Care at Home on Offer to Care at Home Framework Providers	Records maintained in relation to PiPoT duties, regarding allegations about an adult in a position of trust, working or volunteering with adults at risk. Will contain the person's name, role, work locations, details of allegations, and outcome - sunstantiated, unsubstantiated, unfounded, false, or malicious.	Electronic.	8 years after last contact. Secure disposal.	Care Act 2014; North West ADASS Guidance.

## Blackpool Council

Municipal Buildings  
Corporation Street  
Blackpool  
FY1 1NF

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