



**Cafcass Record Classification and Retention Schedule**  
**Information Assurance Policy Appendix 1**

This appendix sets out requirements in relation to security classification and retention requirements for Cafcass information.

**1. Security classification of records**

- 1.1 The vast majority of Cafcass information has been classified as Official, in line with the [Government Classification Scheme](#).
- 1.2 There is no requirement to explicitly mark routine Official information.
- 1.3 In exceptional circumstances, some Cafcass information may need to be treated as Official-Sensitive where it should only be shared on a 'need to know basis' and its incorrect disclosure or loss could have particularly damaging consequences. This is a decision to be made by the Information Asset Owner and its use would need to be justified. In these cases, information should be conspicuously marked 'OFFICIAL-SENSITIVE' at the top and bottom of each page.
- 1.4 Information may be disclosed under the Freedom of Information Act 2000 regardless of classification markings. Each Freedom of Information (FOI) request will be considered on its own merits. It is therefore important that staff who create or retain information understand fully the impact of such legislation which is set out in the [Freedom of Information Policy](#).

**2. Retention of records**

- 2.1 A record should be kept if it contains information which is relevant to the organisation and its functions. This could include information showing how Cafcass is run, how decisions are made and how money is spent, as well as individual case work, staff files, policy changes, contracts and projects.
- 2.2 If none of the above apply, the information is not a record and can be destroyed when it is no longer required.
- 2.3 With the exception of case-related and HR information, records should be retained:
  - For three years, and then deleted
  - For seven years, and then deleted
  - Permanently
  - Specific records and required retention for our various departments can be seen in the table below; where justified, information can be retained for longer (e.g. if regulatory action or legal proceedings are pending).
- 2.4 Case-related and HR information contains personal information about service users or staff. The Data Protection Act states that this must not be kept for longer than necessary. In these two cases this information may be kept for a longer period in order to allow service users who were children to access their case information up to the age of 22, and in order to keep documents relating to staff pension entitlement available up to the age of 100.
- 2.5 Teams should review information on an annual basis to ensure information which no longer needs to be kept is destroyed/deleted.

<b>Owned by</b>	Melanie Carew, Head of Legal Services
<b>Approved by</b>	Information Assurance Board, August 2016
<b>Implemented</b>	August 2016

Team	What to keep?	Where to keep?	How long to keep?
OPERATIONAL	Case-related information*	ECMS	Until the youngest child on the case would be 22 years old (more information can be seen in Case Recording and Retention Policy)*
SAFEGUARDING/NIS	Serious case reviews (SCRs): written submissions to SCRs (Individual Management Reviews or equivalent reports)*	Sharepoint team site	Redacted form for 3 years from internal sign off*
CUSTOMER SERVICES	Complaints*	ECMS	3 years after last action*
	Subject access requests	ECMS	3 years after last action
MIS	Anonymised statistics created from electronic records	Sharepoint team site; intranet; website	Key statutory statistics held permanently in Annual Report; other statistics to be kept according to business needs
OMBUDSMAN (Policy team)	Final and draft reports, our correspondence with the Ombudsman, internal sign off of payments*	ECMS	3 years after last action*
POLICY	Drafts reflecting significant changes in approach	Sharepoint team site	3 years
	Final versions	Intranet and Sharepoint team site	Permanently
	Consultation responses	Sharepoint intranet	Permanently
LIBRARY	Library user records	Library Management System (Library catalogue)	Until staff member leaves Cafcass, otherwise until the current LMS is superseded
	Library item records	Library Management System (Library catalogue)	Until the item is superseded by a new edition, or disposed of in accordance with the Library's collection management policy.
COMMUNICATIONS	Public/web enquiries	Emails in Gmail and logged on Sharepoint team site	5 years
	Ministerial correspondence	ECMS	3 years
	Annual reports	Sharepoint team site, standalone and hard copy	Permanently
	Other publications/leaflets	Standalone	Until superseded

	Image library record	Standalone	Until superseded
	Channel C, news items and press releases	Intranet, Sharepoint team site and standalone	Permanently
	Press reports digests	Sharepoint team site	Permanently
PROJECTS AND RESEARCH	<p>High profile or innovative projects, i.e. projects concerning changes to Cafcass policy and business; Projects incurring expenditure outside of normal business budget allocation.</p> <ul style="list-style-type: none"> <li>• Business Case,</li> <li>• Project Initiation Document</li> <li>• Risk, Action, Issue, Decision logs</li> <li>• Plans</li> <li>• Reports (quality/evaluation reviews; highlight reports, closure reports)</li> <li>• Meeting notes</li> </ul> <p>Finance documents – refer to finance schedule</p>	Sharepoint team site	Permanently
	Routine projects, i.e. projects that are delivered locally with no impact on Cafcass policy or business.	Sharepoint team sites	7 years
	Internal research final reports and statistical data	Sharepoint team sites; intranet; Cafcass website for external publishing.	Permanently
BOARD AND SUBCOMMITTEES	Management information (e.g. risk registers, headcount information, information asset registers)	Sharepoint site	Until it is no longer useful, or until it is superseded
	Records of meetings, events and activities	Sharepoint site and Cafcass website	Permanently
FINANCE AND RESOURCES	Main accounting ledgers; (supporting documents)	Finance system (e5) and Sharepoint team site; paper copies in Cafcass national archive	7 years; (3 years)
	Financial reports; (supporting documents)	Sharepoint team site; paper copies in Cafcass national archive	3 years; (3 years)

	Audited accounts	Sharepoint team site; annual report	7 years after date of audit
	Records relating to dealings with the public accounts committee and the select Committee on expenditure	Sharepoint team site; paper copies in Cafcass national archive	7 years
	Financial authorities or delegations	Sharepoint team site; paper copies in Cafcass national archive	7 years after authority or delegation is superseded
PROCUREMENT	Contracting	Sharepoint team site	7 years from end of contract
	Tendering; (unsuccessful tenders)	Sharepoint team site	7 years from end of contract; (one year from date of last paper)
NATIONAL COMMISSIONING TEAM	Contracting	Sharepoint team site	7 years from end of contract
	Tendering (unsuccessful tenders)	Sharepoint team site	7 years from end of contract; (one year from date of last paper)
	Accounts Supporting documents (Invoices and monitoring for services delivered including attendance records)	Finance system (e5) and Sharepoint team site	7 years; (3 years)
	Decision Making data (action logs)	Sharepoint team site	3 years
	Pilots in development	Sharepoint team site	Permanently
ESTATES	Details of property leased; Licenses; Legal documents	Original paper copies at Estates secure fire proof storage cabinet at Bloomsbury / scanned copies Sharepoint team site	6 years after disposal of any premises lease – including sign off of any dilapidations claim
HEALTH AND SAFETY	Records of accidents and incidents	iTrent and Estates Sharepoint file	5 years from date of accident
	Risk Assessments	Electronic premises file	5 years after last annual review
	Written systems and procedures	Electronic premises file	5 years after last annual/biennial review
	Asbestos logs	Hard copies within Estates secure fire proof storage cabinet at Bloomsbury; scanned copy in each premises file	40 years (H&S legislation)
HR	Annual leave, special leave and career breaks	iTrent	2 years

	Sickness absence (complete record showing dates and causes)		Until staff member is 100 years old
	Performance record 1) File for staff who do not pass probation period 2) Ongoing assessment records 3) Assessment records for the last five years of service Performance management and disciplinary records resulting in changes of terms and conditions of service or salary	iTrent	1) 1 year after termination of employment 2) 5 years 3) Until staff member is 100 years old  Until staff member is 100 years old
	Recognition and reward	iTrent	1 year if vouchers; until staff member is 100 years old if added to salary and of taxable amount
	Season ticket loans	iTrent	Six years after repayment
	Security clearance/ DBS forms	iTrent	6 years after leaving (if at normal retirement age) or 10 years after leaving (if before normal retirement age)
NIS	eLearning modules; Training materials (e.g. PowerPoint slides)	MySkills; NIS Sharepoint team site	Until superseded or no longer necessary
	Records of training attendance; records of eLearning completions	iTrent and NIS Sharepoint team site; MySkills	Until member of staff leaves; Until eLearning provider discontinued
	Commissioned requests (e.g. coaching, support with action plans)	NIS Sharepoint team site	7 years
	Audit records: <ul style="list-style-type: none"> <li>Thematic audit records</li> <li>AQR audit records</li> <li>PNC audit – queried transactions</li> <li>PNC audits – audit spreadsheet</li> </ul>	NIS Sharepoint team site; AQR Sharepoint site; Outlook archive folder; NBC/PNC Sharepoint site	7 years (PNC queries deleted after 1 year)
	Student Log spreadsheet; Student Personal Checklists; Student/PE Evaluation	NIS Sharepoint team site	7 years; 1 year; 7 years.
IT	Login details and passwords	Sharepoint team site	Kept until staff member leaves
LEGAL	Files relating to work for children:* <ul style="list-style-type: none"> <li>TD files</li> </ul>	Sharepoint team site; paper copies in Cafcass national archive	Until the youngest child on the case would be 22 years old*

	<ul style="list-style-type: none"> <li>• Advocate to the court records</li> <li>• Separate Legal Representation records (external and in-house)</li> </ul>		
	Independent Reviewing Officer (IRO) referrals		
	Litigation files*	Sharepoint team site; paper copies in Cafcass national archive	7 years after last action (if recorded action within preceding 12 months, retain for another year and then review)*
	Legal advice	Sharepoint team site	3 years after last action
	Freedom of information requests	ECMS and Sharepoint team site	3 years after last action
	Records of data breaches and incidents	Sharepoint team site	3 years after last action
	Register of gifts and hospitality received and given	Sharepoint team site	3 years

\*There is a current moratorium on destroying any document relevant to the Independent Inquiry into Child Sexual Abuse. The moratorium was issued in March 2015 to ensure no material of potential relevance to the Inquiry was prematurely destroyed. Cafcass documents included within this moratorium are: case files (operational teams); serious case reviews (Safeguarding/NIS); complaint records and Subject Access Request records (Customer Services Team); Ombudsman records (Policy Team); litigation files and legal files relating to children (Legal Team).

