

APPENDIX A: Retention and Destruction Schedule

CARE RECORDS

Description	Retention Period – Documents Not Created by HC-One	Basis	Retention Period – Documents Created by HC-One	Basis
Care Records *Includes Care Plans, assessments, charts, logs, reports, inventories and any other records detailing the care given to an individual resident or assessing their needs and condition. Also includes records of possessions.	3 whole years from date of last entry in the records.	Regulator Requirement	8 whole years from date of last entry in the records	Claims Defensibility
Respite and Short Stay Care Records	Retain as Care Records	Regulator Requirement	Retain as Care Records	Claims Defensibility
Care File Audits (excluding Cornerstone)	Destroy Immediately	Superseded	2 whole years	DH Schedule
Handover Sheets (excluding Cornerstone)	Destroy Immediately	Data Protection Act 1998	3 whole years	Claims Defensibility
Enquiries from persons who did not become residents	Destroy Immediately	Data Protection Act 1998	1 whole year	GDPR 2018
DoLS and Restraint Records	Retain with Care Records	Regulator Requirement	Retain with Care Records	Claims Defensibility
Records of money or valuables deposited for safekeeping	Retain with Care Records	Regulator Requirement	Retain with Care Records	Claims Defensibility
Correspondence relating to a resident	Retain with Care Records	Regulator Requirement	Retain with Care Records	Claims Defensibility
Unstructured Care Records that cannot be reconciled	8 whole years	Balance of Risk	8 whole years	Balance of Risk

MEDICINES RECORDS

Description	Retention Period – Documents Not Created by HC-One	Basis	Retention Period – Documents Created by HC-One	Basis
Controlled Drugs Recording Books	2 whole years from date of last entry	The Misuse of Drugs Regulations 2001	2 whole years from date of last entry	The Misuse of Drugs Regulations 2001
Delivered / Returned Medication Books	2 whole years from date of last entry	The Misuse of Drugs Regulations 2001	2 whole years from date of last entry	The Misuse of Drugs Regulations 2001
Prescriptions, Requisitions and Orders	2 whole years from date of last delivery made pursuant to the prescription, requisition or order	The Misuse of Drugs Regulations 2001	2 whole years from date of last delivery made pursuant to the prescription, requisition or order	The Misuse of Drugs Regulations 2001
MAR Charts	Retain with care records	Regulator Requirement	Retain with care Records	Claims Defensibility
Medicines Audits (excluding Cornerstone)	Destroy Immediately	Superseded	2 whole years	DH Schedule

MAINTAINANCE, HOUSEKEEPING AND H&S RECORDS

Description	Retention Period – Documents Not Created by HC-One	Basis	Retention Period – Documents Created by HC-One	Basis
Temperature Records Books	3 whole years from date of last entry	Regulator Requirement	3 whole years from date of last entry	Regulator Requirement
Bed Rails and Profile Beds Inspection and maintenance Records	Retain for the lifespan of the bed rail or bed to which the inspection and maintenance record relates and 3 whole years thereafter	PUWER 1998 / Regulator Requirement	Retain for the lifespan of the bed rail or bed to which the inspection and maintenance record relates and 3 whole years thereafter	PUWER 1998 / Regulator Requirement
Maintenance Records and Books	Retain for the lifespan of any equipment to which the records relate and 3 whole years thereafter	PUWER 1998 / Regulator Requirement	Retain for the lifespan of any equipment to which the records relate and 3 whole years thereafter	PUWER 1998 / Regulator Requirement
Fire Safety Records and Books	Retain for the lifespan of any equipment to which the records relate and 3 whole years thereafter	PUWER 1998 / Regulator Requirement	Retain for the lifespan of any equipment to which the records relate and 3 whole years thereafter	PUWER 1998 / Regulator Requirement
H&S Records and Books	Retain for the lifespan of any equipment to which the records relate and 3 whole years thereafter	PUWER 1998 / Regulator Requirement	Retain for the lifespan of any equipment to which the records relate and 3 whole years thereafter	PUWER 1998 / Regulator Requirement
LOLER Certificates and any other records or logs relating to lifting equipment	Retain for the lifespan of the equipment to which the records relate and 3 whole years thereafter	LOLER 1998 / Regulator Requirement	Retain for the lifespan of the equipment to which the records relate and 3 whole years thereafter	LOLER 1998 / Regulator Requirement
Any other records or logs relating to maintenance and repair of equipment	Retain for the lifespan of the equipment to which the records relate and 3 whole years thereafter	PUWER 1998 / Regulator Requirement	Retain for the lifespan of the equipment to which the records relate and 3 whole years thereafter	PUWER 1998 / Regulator Requirement

Any other records relating to electrical testing, fire safety, water safety or medical gas safety	Retain for the lifespan of the equipment to which the records relate and 3 whole years thereafter	PUWER 1998 / Regulator Requirement	Retain for the lifespan of the equipment to which the records relate and 3 whole years thereafter	PUWER 1998 / Regulator Requirement
Domestic Cleaning Records and Books	3 whole years from date of last entry	Regulator Requirement	3 whole years from date of last entry	Regulator Requirement
Water Quality Records and Books	3 whole years from date of last entry	Regulator Requirement	3 whole years from date of last entry	Regulator Requirement
Audits not specifically mentioned elsewhere (excluding financial audits or audits forming part of Cornerstone)	Destroy Immediately	Superseded	2 whole years	DH Schedule
Any other records relating to cleaning or housekeeping	3 whole years	Regulator Requirement	3 whole years	Regulator Requirement
Incident & Accident Books	3 whole years from date of last entry	HSE Requirement	All incidents should be inputted on RADAR. Retain same period as care record	HSE Requirement
Waste Transfer Records / Notes	2 whole years	The Waste (England and Wales) Regulations 2011	2 whole years	The Waste (England and Wales) Regulations 2011

HOME RECORDS

Description	Retention Period – Documents Not Created by HC-One	Basis	Retention Period – Documents Created by HC-One	Basis
Complaints	3 whole years from date of resolution	Regulator Requirement	6 whole years from date of resolution	Limitation Act 1980
Nursing and Care Home Admissions Register	3 whole years from date of last entry	Regulator Requirement	6 whole years from date of last entry	Limitation Act 1980
Visitors Register	3 whole years from the date of last entry	Regulator Requirement	6 whole years from the date of last entry	Limitation Act 1980
Certificates of Registration, resident Guides and Statements of Purpose	3 whole years from date superseded	Regulator Requirement	Retain current version until superseded then retain for 6 whole years	Limitation Act 1980
Internal Inspections	3 whole years from date of inspection	Regulator Requirement	Retain most recent inspection and previous inspections for 6 whole years	Limitation Act 1980
External Inspections	3 whole years from date of inspection	Regulator Requirement	Retain most recent inspection and previous inspections for 6 whole years	Limitation Act 1980
Policies and Procedures	3 whole years from date superseded	Regulator Requirement	Retain current version until superseded then retain for 6 whole years	Limitation Act 1980
Cornerstone folders, files and documentation	N/A	N/A	6 whole years from date of last entry	Limitation Act 1980
Non-Clinical Diaries and Notepads	Destroy once no longer of use. Transfer relevant information to the appropriate record	Data Protection Act 1998	Destroy once no longer of use. Transfer relevant information to the appropriate record	GDPR 2018

Description	Retention Period – Documents Not Created by HC-One	Basis	Retention Period – Documents Created by HC-One	Basis
Risk Assessments relating to an individual resident / Care related Risk Assessments	Retain with care records	Regulator Requirement	Retain with care records	Claims Defensibility
Generic Risk Assessments	Destroy immediately	Superseded	Retain for 6 whole years from date superseded by a new risk assessment	Limitation Act 1980
Requests for Records / Subject Access Requests	Destroy immediately	Data Protection Act 1998	6 whole years from date of resolution of request	DH Schedule
Certificates of Document Destruction and Records of Destroyed Documents	Retain Indefinitely	Best Practice	Retain Indefinitely	Best Practice

FINANCE, PURCHASING AND CORPORATE RECORDS

Description	Retention Period – Documents Not Created by HC-One	Basis	Retention Period – Documents Created by HC-One	Basis
Resident s' Finance Record/File	3 whole years from date of last entry in the records.	Regulator Requirement	7 whole years from date of last entry in the records	Claims Defensibility
Personal allowance receipts should be transferred to the resident 's finance record/file when resident has left the Care Home and retained as above)	3 whole years from date of last entry in the records.	Not required by HC-One	7 Whole Years	Finance Director Decision
Personal Allowance reconciliations	3 whole years from date of last entry in the records.	Not required by HC-One	7 Whole Years	Finance Director Decision
Comfort/staff Fund Records/receipts	Destroy Immediately	Not required by HC-One	7 Whole Years	Finance Director Decision
Petty Cash Records	Destroy Immediately	Not required by HC-One	7 Whole Years	Finance Director Decision
Banking Sheets/Receipts	Destroy Immediately	Not required by HC-One	7 Whole Years	Finance Director Decision
Payroll Reports	Destroy Immediately	Not required by HC-One	7 whole years	Taxes Management Act 1970
Purchase Ledger Delivery Notes/Invoices	Destroy Immediately	Not required by HC-One	3 months volume at any one time	Finance Director Decision

Receipt Books	3 whole years from date of last entry in the records.	Not required by HC-One	7 Whole Years	Finance Director Decision
Bank Paying in /deposit books	3 whole years from date of last entry in the records.	Not required by HC-One	7 Whole Years	Finance Director Decision
Bank Cheque Books	3 whole years from date of last entry in the records.	Not required by HC-One	7 Whole Years	Finance Director Decision
Purchasing of medical devices and medical equipment	11 whole years	Regulator Requirement	11 whole years	Regulator Requirement
Plans of Buildings	Retain permanently		Retain permanently	

HR RECORDS

Description	Retention Period – Documents Not Created by HC-One	Basis	Retention Period – Documents Created by HC-One	Basis
Personnel Records	3 whole years from date upon which employment ends	Regulator Requirement	6 whole years from date upon which employment ends	Limitation Act 1980
Unsuccessful Job Applications and Recruitment records	Destroy Immediately	Data Protection Act 1998	6 Months after notification of decision to applicant	The Employment Practices Code - ICO
Training Records	Retain with Personnel Records	Regulator Requirement	Retain with Personnel Records	Head of HR Decision
Time Sheets	Destroy Immediately	Data Protection Act 1998	6 whole years	Head of HR Decision
Dismissals / Suspensions / Supervisions	Retain with Personnel Records	Regulator Requirement	Retain with Personnel Records	Head of HR Decision
Personal Development Records	Retain with Personnel Records	Regulator Requirement	Retain with Personnel Records	Head of HR Decision
Agency Time Sheets and Records	Destroy Immediately	Data Protection Act 1998	2 whole years	DH Schedule
Rotas including details of whether the Rota was worked	4 whole years	Regulator Requirement	4 whole years	Regulator Requirement
Budgets	Destroy Immediately	Not required by HC-One	7 Whole Years	Finance Director Decision
Final Annual Accounts	Destroy Immediately	Not required by HC-One	30 Whole Years	Regulator Requirement