

## Harrow Shared Lives Scheme Policy & Procedure No. 47

### Record Keeping and Retention and Archiving of Records

Keeping records is an essential part of running a safe and efficient service. Any information that Harrow Shared Lives Scheme keeps about you must be accurate and up-to-date and easily found when needed. It must also be kept securely and in ways that comply with laws about this, including the Data Protection Act 1998.

#### How would this happen?

Information will sometimes be recorded using paper and files, or it may be put on computer and kept electronically. These records are needed in order to help us deliver a service to you that is personalised and meets your needs and wishes. The records also enable us to show what actions have been taken in case you or other people have any queries or complaints.

We only keep information which is important and relevant to your Shared Lives (SL) arrangements. This includes:

- your assessment of needs, Service User Plan, SL Agreement, Care Plan, etc
- the dates you start and end any SL arrangements
- the dates of visits or telephone conversations with your SL Worker and any decisions or actions taken as a result
- any accidents or serious illnesses or other adverse events affecting you
- any concerns or complaints about the services you receive, or about your health and well-being and actions taken.

We have to store all this information securely to prevent unauthorised people from getting access to any personal information about you. In our office(s) the paper files are kept in lockable filing cabinets and our computers can only be accessed with a password. There are systems in place to protect against loss, or damage or destruction of the paper and electronic files and of the information contained in them.

SL Carers also have to keep copies of information about you and to record anything significant that happens to you while you are with them. They have to keep these records in a safe place too, to ensure that other people in their household do not read them or interfere with them. All SL Carers are given training about record keeping and the importance of confidentiality before they start working in the service and the SL Workers provide ongoing advice and assistance for them if necessary.

When your SL arrangement comes to an end, the SL Carer must shred all records and any records held in the office will be kept for 6 years after you have ended your involvement with the Harrow Shared Lives Scheme in archives and are then disposed of carefully and safely after that date. Also all records are kept up to the 6 year period and then archived/disposed of accordingly.

You have a right to know what kind of information is being kept about you. Your SL Worker can tell you more about this. You also have a right to see the actual files and information we and your SL Carer(s) have about you, whether on paper or on computer.

Please refer to the grid below for procedures on retention and archiving of records: -

Reference Number	Adults Service – Function Description & Example Records	Retention Action	Notes
	<b>Shared Lives Services</b>		
	<p>Process of recruiting, approving, training and supporting people in the community to support a vulnerable adult</p> <p>Carer File</p> <ul style="list-style-type: none"> <li>• DBS checks</li> <li>• Personal information/reference (inc. photo)</li> <li>• Employment details</li> <li>• Medical reference</li> <li>• Qualification/training</li> <li>• Application forms</li> <li>• Employment history</li> <li>• Mortgage lender details</li> <li>• Assessment reports</li> <li>• Statement of approval</li> <li>• Annual Carer review</li> <li>• Annual health and safety checklist</li> <li>• Correspondence (inc. letters and emails)</li> <li>• Monitoring reports</li> </ul>	<p>Destroy 6 years after last contact or after file closed</p>	<p>Limitation Act 1980 Section 5</p>

Reference Number	Adults Service – Function Description & Example Records	Retention Action	Notes
	<p>Process involving assessing, matching and placing Service Users (Vulnerable Adults) with approved Carers</p> <p>Service User File</p> <ul style="list-style-type: none"> <li>• Service user referral form (referrals made from the Care Management team)</li> <li>• Personal information (inc. photo)</li> <li>• Service user plan</li> <li>• Placement agreement</li> <li>• Risk assessments</li> <li>• Annual Service User review</li> </ul>	Destroy 6 years after last contact or after file closed	Limitation Act 1980 Section 5
	<p>Process involving individual case assessment, investigation, and management of Service Users or <i>Process involving summary case management of services or support to adults.</i></p> <p>Staff Meetings file</p> <ul style="list-style-type: none"> <li>• Carer meetings</li> <li>• Staff meetings</li> <li>• Referral and allocations</li> <li>• Service User meetings</li> <li>• CPA notes – Review of mental health needs</li> <li>• Service User feedback</li> </ul>	Destroy 6 years after last contact or after file closed	Limitation Act 1980 Section 5
	Policies and procedures	Destroy 6 years after last contact or after file closed	Common Practice
	Budget Folder/Financial files	Destroy 6 years after last contact or after file closed	Common Practice
	Training and development files	Destroy 6 years after last contact or after file closed	Common Practice
	Prospective Service User/Carer files	<p>If individual progresses to become an Approved Carer or service user is placed within Shared Lives</p> <p>Destroy 6 years after last contact or after file closed</p> <p>If individual does not progress the information will be recorded on Frameworki and the originals destroyed</p>	Common Practice
	Complaints and Compliments file	Destroy 6 years after last contact or after file closed	Common Practice

**See these other policies, procedures and documents for further information on:**

- Access to files
- Confidentiality
- Joint working and information sharing
- Training and development