



ASC- Retention rule guidance for Mosaic

As an organisation, it is our responsibility as a Data Controller to ensure that information created, generated or received is being kept for only the duration of time that it is required, in accordance with the Data Protection Act 2018 and the GDPR.

This is to ensure that we as an organisation are processing data lawfully and fairly. Therefore, the Retention Schedule is being implemented across the council and applied to each data asset that we process, control and own.

How does this affect Adult Social Care?

CODE	Document/Record Type	Retention Period	Authority	Legal Rationale	PRP
R37	Adult Social Care				
R37.1	Adult Care Record	End of Service + 8 Years	Statutory	Limitation Act 1980 (Section 2) NHS Code of Practice 22	
R37.2	Adult Care Record (Mental Health)	End of Service + 20 Years Or 10 Years after Death	Statutory	NHS Code of Practice 22	

For Adult Social Care, this mainly means the information we create and hold on Mosaic. We have three retention rules (timeframes in which we will keep the data) depending on our level of involvement with a person.

These rules will be applied when we have **completely ended** our involvement with them (no workflow, no services, no further input from ASC), and have 'closed the case'.

- **Files that have not progressed past an Initial Record: 2 years.** (This is for those where a file has been created for them, potentially case notes recorded, but workflow wise- we have only completed an Initial Record, and not progressed any further).
- **Files that have progressed past an Initial Record: 8 years.** (This is for those where Conversation workflow, Reviews, OT assessments, Safeguarding workflow etc was created for that person- where we had involvement with them).
- **Files that are Mental Health related: 20 years.** (This is for those under a Section 117 legal status- even if this status had ended at the point of case closure. This does not relate to just the person having MH related workflow/ services, as the usual ASC 8 year retention rule would apply here).

How do I add a retention date to a Mosaic file?

When ASC are no longer going to be involved with a person (whether they've passed away, ended their services, moved out of Camden etc), a retention date needs to be added onto the person's file. This is the responsibility of the last worker/ team involved, who is ending workflow, services or recording a date of death for instance.

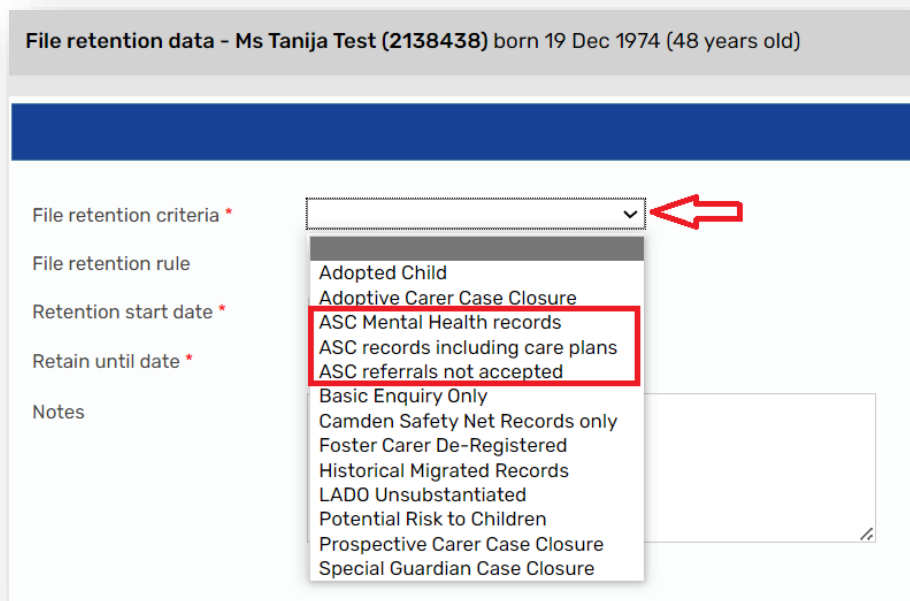
Please note, for those who have passed away, the ASC Case Closure workflow step still needs to be completed.



To add a retention date, use the toolbar on the left of a person's file, and select **File management**. Then choose the **File retention** option:



The file retention page will open, with a drop-down list to select from:



The only three of note to us in ASC are circled above (and helpfully start with 'ASC...').

- **ASC Mental Health records:** the 20 year retention rule for MH/ Section 117 cases
- **ASC records including care plans:** the 8 year retention rule for ASC cases that progressed past an Initial record.
- **ASC referrals not accepted:** the 2 year retention rule for ASC cases that did not progress past an Initial Record.

The other rules relate to Childrens or Camden Safety Net and are **not** to be used by ASC.



Once you have selected a retention rule, you need to **add the date you wish for this rule to start-** for instance, the day the case is closing/ today's date:


File retention data - Ms Tanija Test (2138438) born 19 Dec 1974 (48 years old)

File retention criteria *

File retention rule

Instructions:
 You will be required to enter the retention start date.
 The system will calculate the retain until date.

Retention start date *  

Retain until date * 

The timeframe will then be applied based on the rule you've selected, with the **Retain until date** automatically completed. Here, it has automatically selected the date for 8 years' time.

Select **Save** for this retention date to now be in place. You will be able to see this added, at the bottom right hand side of a person's file:

123456789 (Mobile)

Members

Professional and organisational relationships

GP

Group Practice Doctor Mill Road Surgery (Mill Road Surgery)

File retention

Retain until 26/09/2031

What if there is already a retention rule/ date on the file?

If you find another retention rule already added to a file when selecting the **File retention** tab, when trying to add an ASC one, it will present like this:

File retention data - Ms Tanija Test (2138438) born 19 Dec 1974 (48 years old)


Current retain until date

Current file retention criteria

File retention criteria *

File retention rule

Retention start date * 

Retain until date * 

In this case, you can see a Childrens related retention rule for 75 years, and as this exceeds the 2, 8 or 20 year ones we can add, we **do not** need to add an ASC retention rule.

You will find it will not let you add one, for this reason. You also do not have the ability to delete it:

File retention data - Ms Tanija Test (2138438) born 19 Dec 1974 (48 years old)

Fields marked with a * are required

Current retain until date	17/09/2094
Current file retention criteria	Potential Risk to Children

File retention criteria *

File retention rule File to be retained for 8 years from case closure date

Instructions:
 You will be required to enter the retention start date.
 The system will calculate the retain until date.

Retention start date *

Retain until date *

⚠ Only criteria that give a later 'retain until date' than currently set can be selected

If you find an existing retention date on a file, and the end date of that is **less than** the timeframe you wish to add, then you **can** add your ASC rule:

File retention data - Ms Tanija Test (2138438) born 19 Dec 1974 (48 years old)

Current retain until date	11/09/2028
Current file retention criteria	Camden Safety Net Records only

File retention criteria *

File retention rule File to be retained for 15 years from case closure date

Retention start date *

Retain until date *

In this case, the retention date is 5 years from now, therefore if I needed to add an 8 or 20 year rule, then I could.




To replace the existing retention rule, choose your option from the drop-down list, enter the date, and select **Save**:

File retention data - Ms Tanija Test (2138438) born 19 Dec 1974 (48 years old)


Current retain until date 11/09/2028


Current file retention criteria Camden Safety Net Records only

File retention criteria * ASC records including care plans 

File retention rule File to be retained for 8 years from case closure date

Instructions:
You will be required to enter the retention start date.
The system will calculate the retain until date.

Retention start date * 26/09/2023 

Retain until date * 26/09/2031 

Your rule is now the only retention rule/ date for this file.

What if ASC becomes involved again after a retention date has been added?

We know that in some cases, ASC will end their involvement, however that person may return to our service again at a later stage.

When retention dates are due, and IT are alerted that the files need to be deleted, a report is run to ensure that any files that have existing workflow, or had workflow completed within the timeframe of the last retention date and now (along with other criteria that is considered), will not be deleted.

When ASC are ending their involvement again, the same retention rule process is required from the worker, to add a new retention date to the file.

What checks are being completed before deciding a file can be deleted?

Whilst the file retention date on the file should be a good indicator that a record can be deleted, we complete more checks to provide appropriate assurance that we can proceed to delete the file:

- Has the case been reopened (by any service)?
- If the case is closed, has there been case activity since the retention rule was originally added?
- Has the correct rule been used?
- Is the record required for an ASC register (Sensory Needs, Learning Disabilities)?
- Is the record required by the Personal Finance Services?



- Is the record required for a specific Inquiry – e.g. SAR; Coroner’s inquest; Judicial review; Covid Inquiry?
- Is the person related to another person on Mosaic, who has also had involvement with one or more services (it is proposed that we keep all family records for the longest retention period, so we would extend the retention period accordingly)?

How will I know when a file is being or has been deleted?

When a file is ready for deletion, and all checks have been completed, there may be a time period of a few days in which the system is processing this (as it works its way through the queue of deletions).

During this short timeframe, there will be a warning message on the file informing you that this file is in the process of being deleted:

The screenshot shows a user interface with a left-hand navigation menu and a main content area. The navigation menu includes: Person details, Start, Case notes, Documents, Visits, Health, Legal status, Registrations, and File management. The main content area has a blue header 'Person delete warning' with a red warning message: 'Do not add further information. This person is scheduled to be deleted'. Below this is a section for 'Demographic information' with a sub-header 'Address' and a 'Change' link. The address details are: Main address: 1 TEST ROAD, LONDON, AA1 1AA (View map), Authority: Camden, Ward: St Pancras and Somers Town, Cluster team(s): No teams serve this address.

Once you see this warning message, you cannot use this file. Please **do not** case note, start new workflow etc. We would advise contacting the ASC Mosaic Team immediately.

When a file has been deleted, it will cease to exist on the system. When searching for the person or previous Mosaic reference/ ID, there will be no result. You will need to create the person again if they have returned to the service, with no record of any previous involvement.