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POLICY TEMPLATE · CHILDREN'S HOMES

Records and Record-keeping

Editable Word procedure template for Regs 36–38 and Schedules 3–4

- Every record the law requires
- Retention: 75 years and 15 years
- Recording standards quick guide
- Schedule 3 case record checklist
- Monthly audit and access request log

Ofsted asks for examples of your recording systems



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Records and Record-keeping Procedure

What's in the full version

- **Records procedure**
- **Retention schedule and Regulation 38 checklist.**
- **Recording standards quick guide, with before-and-after examples.**
- **Case record contents checklist (all 26 Schedule 3 items).**
- **Monthly records audit.**
- **Record access request log.**

Pages in this sample

– Records and Record Keeping Procedure (first page)
– Records and Record Keeping Procedure (page 2)

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Records and Record-keeping

What we record, how we write it, who can see it and how long we keep it: regulations 36–38

DOCUMENT CONTROL

Organisation	[Organisation name]
Home	[Home name and address]
Setting type	Children's home (England)
Document title	Records and record-keeping procedure (regulations 36–38; Schedules 3 and 4)
Version	[1.0]
Approved by	[Name and role — Registered Manager / Responsible Individual]
Date approved	[DD/MM/YYYY]
Next review date	[DD/MM/YYYY — at least annually, and after any significant change]
Day-to-day owner	[Registered Manager — name]
Related documents	[Data protection (UK GDPR) policy]; [Safeguarding policy]; [Surveillance and monitoring policy]; [Complaints procedure]; [Staff mobile phone and device policy]; [Business continuity plan]

How to use this template: This is an editable procedure template, not a finished document, and it is not legal advice. Replace every item in [square brackets] with your own details. Name your recording system in section 6 and set the retention periods in Appendix A where the law does not fix one. Ofsted asks to see examples of your paper or electronic recording systems at the registration visit, so have a sample daily record, case record index and register ready. Have the registered person approve it before use. Delete every shaded guidance box (including this one) before you issue it. The Sources section at the end lists the public materials this template was written from, which were checked in November 2026. Always confirm that those materials are still current before you rely on them.

What's in this procedure

- 1 Purpose and scope
- 2 Who does what
- 3 The law and guidance
- 4 The records we must keep
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- 6 Our recording system
- 7 Children's involvement in their records
- 8 Requests to see records
- 9 Confidentiality and sharing information
- 10 Storage and security
- 11 Retention, closure and destruction
- 12 Checking quality
- Appendix A Retention schedule
- Appendix B Recording standards: quick guide
- Appendix C Case record contents checklist (Schedule 3)
- Appendix D Monthly records audit
- Appendix E Record access request log

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- Sources used in preparing this template

1 Purpose and scope

This procedure sets out how [Organisation name] keeps accurate, secure and useful records about children, staff and the running of the home. Children's records are a significant part of their life history (Guide 14.5). Many children will read them as adults, so we write them with care. This procedure applies to everyone who writes or handles records at the home.

2 Who does what

Role	Name, phone, email
Registered Manager	[Name] — owns this procedure; audits records
Data protection lead / DPO	[Name, email]
All staff	Record accurately, on time, and keep records secure
Responsible Individual	[Name] — checks records as part of monitoring
Recording system provider	[System name, support contact]

3 The law and guidance

- **Regulation 36.** A case record for each child that includes the Schedule 3 information, is kept up to date, and has each entry signed and dated by its author. Kept securely in the home while the child lives there and in a secure place afterwards; kept for 75 years from the child's date of birth, or 15 years from the date of death if the child dies before 18; transferred as set out if the home closes.
- **Regulation 37 and Schedule 4.** Other records: register of children, staff details, planned and actual rosters, others living or working at the home, visitors, fire drills and alarm tests, and accounts. Kept in the home, up to date, for at least 15 years from the last entry.
- **Regulation 38.** Fifteen listed items, which may be electronic, must be kept in an accessible manner (Appendix A).
- **Other record duties.** Regulation 35(3) (measures of control, discipline and restraint: 24 hours, 48 hours, 5 days); regulation 39(3) (complaints and outcomes); regulation 23(2)(c) (administration of medicine); regulations 44 and 45 (independent person's reports and quality of care reviews).
- **Regulation 14(2)(f).** Staff help each child to access and contribute to the records kept about them.
- **The Guide, 14.2–14.8.** Electronic records held at the home and backed up; careful, objective, non-stigmatising recording that separates fact, opinion and third-party information and is helpful to the child; children encouraged to read and add to their records; information sharing; records when a home closes.
- **UK GDPR and Data Protection Act 2018.** Lawful, secure handling of personal data; the right of access, answered without undue delay and within one month (ICO).
- **Ofsted registration visit.** Examples of the paper-based or electronic systems you will use to record children's information and experiences.

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