

Reference	Category/Function	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes	Edit History	Version	Publication Date
01	ADULT CARE SERVICES										
01.001	Asylum seekers										
01.001.001	Asylum seekers	Case file - asylum seekers		1. Last action 2. Death of adult	5 years 3 years	Destroy	Business Requirement	Retention period allows time for audit.	taken from SCARRS, agreed by Service	1.0	
01.002	Carers										
		Carers files - see Retention Schedule 15: Human Resources							taken from SCARRS		
		For carers of children and young people, see schedule 02 : Children and Family Services							taken from SCARRS		
01.002.001	Carers	Adult carers	Adult carer support plan	1. Until superceded 2. Death of cared for person	5 years 3 years	Destroy	Business requirement	Carers (Scotland) Act 2016. Section 6	taken from SCARRS, trigger and retention updated by Service	1.1	
01.002.002	Carers	Young carers	Young carer statement	1. Until superceded 2. Death of cared for person	5 years 3 years	Destroy	Business requirement	Carers (Scotland) Act 2016. Section 12	taken from SCARRS, trigger and retention updated by Service	1.1	
01.003	Community support										
	Community support	Kept in client case file and follow appropriate retention period							taken from SCARRS	1.0	
01.004	Care Services (including, Residential homes Home care and housing support services)										
01.004.001	Care Services	Service file - Care Service management records	Strategy, planning, monitoring, register of admissions and discharges, visitors books, meetings, correspondence	Current year	5 years	Destroy	Business Requirement		taken from SCARRS, retention updated by Service	1.1	
01.004.004	Care Services	Service user file	Records documenting the preparation, review and revision of a 'personal plan' for a service user, liaisons with social workers regarding the type of care being provided to a service user or problems with providing home care, administration of medicines to a service user. Records held must include:	Last action	5 years	Destroy	Business Requirement		taken from SCARRS, trigger and retention updated by Service	1.1	
	Care Services	Service user file	Personal Plans					Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 5		1.1	
	Care Services	Service user file	Records for service users. Name, address, date of birth Details of next of kin or person authorised to act on their behalf. Details of users general practitioner Date service was first provided					Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (1)		1.1	
	Care Services	Service user file	Details of any restraint used; Incidents detrimental to the health or welfare of a service user; Complaints, outcome and action taken; Money and valuables deposited by a service user / when returned/what used for; Date and time of death of any service user who has died including doctor certifying death; Details of medication without consent					Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (3)		1.1	
	Care Services	financial transactions undertaken for a service user	Bank Statements Safe audits Eligibility forms						added by service	1.1	
	Care Services	Financial Assessments	Records associated with a yearly financial assessment to determine the chargeable cost of the service to the client both non-residential and residential.	Last action	5 years	Destroy	Business requirement		added by service	1.1	

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01.004.005	Care Services	Care service records	Fire and emergency procedures.; Fire drills and alarm tests. Maintenance of equipment. Daily list of persons employed. Date and time of death of any service user who has died including doctor certifying death. Medicines kept on the premises.	Current year	5 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (3)	taken from SCARRS, agreed by Service	1.0	
	Care Services	Records of persons employed	Full name, address, date of birth, qualifications, training and experience. Date of commencement. Date of termination Positions held Registration (if appropriate) Any disciplinary action and outcome	Retained as Personal File - See HR schedule				Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (2)	taken from SCARRS, agreed by Service	1.0	
01.004.006		Notification of death, illness and other events sent to the Care Inspectorate		Current year	3 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 21	taken from SCARRS	1.0	
01.004.007	Care Services	Notification of absence sent to the Care Inspectorate	Proposed absence of manager for a continuous period of more than 28 days.	End of period of absence	3 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations. SSI 2002 No 114. Regulation 22	taken from SCARRS	1.0	
01.004.008	Care Services	Notification of changes sent to the Care Inspectorate	Change of provider. Change of manager Change of premises Change of name of an individual Change of ownership of a body corporate or identity of its officers. Change of identity of partners	Current year	3 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations. SSI 2002 No 114. Regulation 23 (1)	taken from SCARRS	1.0	
01.004.009	Care Services	Notification of complaints procedure sent to the Care Inspectorate	Copy of complaints procedure	Until superseded	Nil	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 25	taken from SCARRS, agreed by Service	1.0	
01.004.010	Care Services	Notification from a care service to the Care Inspectorate	Notification of unfitnes	Termination	T + 7 or 25 (PVG)	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 8	taken from SCARRS, trigger and retention updated by Service	1.1	
01.004.011	Care Services	Notification from a care service to the Care Inspectorate	Appointment of a manager	Termination	T + 7 or 25 (PVG)	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 17	taken from SCARRS, trigger and retention updated by Service	1.1	
01.004.012	Care Services	Application by Local Authority to register a care service under s33(1)c Regulation of Care (Scotland) Act 2001	A statement that the local authority have determined that they must provide the service in order to fulfil a statutory duty; and A statement of the reasons for that determination (including identification of the statutory provisions which in the opinion of the local authority give rise to that duty).	Until superseded	5 years	Destroy	Business Requirement	The Regulation of Care (Applications and Provision of Advice) (Scotland) Regulations 2002 SSI 2002/113(3)	taken from SCARRS, agreed by Service	1.0	

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01	ADULT CARE SERVICES										
01.004.013	Care Services	Statement of aims and objectives		Until superseded	5 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 3	taken from SCARRS, agreed by Service	1.0	
01.004.014	Care Services	Certificate of registration		Until superseded	5 years	Destroy	Business requirement	Regulation of Care (Scotland) Act 2001. 2001 asp 8 Section 9 To be displayed on premises concerned.	taken from SCARRS, agreed by Service	1.0	
01.004.015	Care Services	Dismissal of social worker - notification to Scottish Social Services Council	see Retention Schedule 15: Human Resources						Taken from SCARRS, agreed by Service	1.0	
01.004.FC.001	Care Services	Medication Forms		Current		Destroy	Business Requirement		added by service	1.1	
1.005	Social issues										
	Social issues	Kept in client case file and follow appropriate retention period							taken from SCARRS	1.0	
1.006	Supporting adults										
01.006.002	Supporting adults	Register of adults with learning disabilities who received social work services.		1. Current year 2. Looked after by Council	5 years 100 years	Destroy	Business Requirement		taken from SCARRS, Activity, Trigger and Retention updated by Service	1.1	
01.006.003	Supporting adults	Case file - adult with learning disabilities, where statutory measures were taken.	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	Last action/death of adult	5 years	Destroy	Business Requirement		taken from SCARRS, Activity, Trigger and Retention updated by Service	1.1	
01.006.004	Supporting adults	Case file - adult with learning disabilities, where statutory measures were not taken.	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	Last action/death of adult	5 years	Destroy	Business Requirement		Taken from SCARRS, Activity, Trigger and Retention updated by Service	1.1	
01.006.011	Supporting adults	Case file - adult with mental ill health where statutory measures were taken.	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	1. Last action/death of adult	20 years	Destroy	Business Requirement		taken from SCARRS, Activity, trigger and retention updated by Service	1.1	
01.006.011a	Supporting adults	Case file - adult with mental ill health where statutory measures were not taken.	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	1. Last action 2. Death of adult	5 years 3 years	Destroy	Business Requirement		taken from SCARRS, Activity updated by Service	1.1	
01.006.013	Supporting adults	Case file - Occupational therapy	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	Last action/death of adult	5 years	Destroy	Business Requirement		taken from SCARRS, trigger and retention updated by Service	1.1	
01.006.018	Supporting adults	Case file - physical disabilities	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	Last action/death of adult	5 years	Destroy	Business Requirement		taken from SCARRS, trigger and retention updated by Service	1.1	
01.006.019	Supporting adults	Case file - all other adults which do not fit into categories above	Referral / Request for service or service transferred to another provider, Assessment and referral reports, Care plan, contact info of client (and carer where relevant)	Last action/death of adult	5 years	Destroy	Business Requirement		taken from SCARRS, trigger and retention updated by Service	1.1	
01.006.020	Supporting adults	Plan of use of the service (Personal Plans)		Last action/death of adult	5 years	Destroy	Business Requirement		taken from SCARRS, trigger and retention updated by Service	1.1	
01.006.021	Supporting adults	NHS/LA agreement	IJB Scheme		Permanent	Archives	Business Requirement	The Community Care (Joint Working etc) (Scotland) Regulations 2002. SSI 2002 No 533 Regulations 2 (b), 3 (b) To be in writing Reg. 9	taken from SCARRS, description updated by Service	1.1	

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01	ADULT CARE SERVICES										
01.006.022	Supporting adults	Part 9 Care Plan (under the Mental Health (Care and Treatment) (Scotland) Act 2003, Part 9 - Compulsion Orders)	Retain on case file	Last action/death of adult	20 years	Review	Business Requirement	Mental Health (Content and amendment of care plans) (Scotland) Regulations 2005. SSI 2005 No 309	taken from SCARRS, Trigger, Retention and Disposal Action updated by Service	1.1	
01.006.023	Supporting adults	Social Circumstances report - under the Mental Health (Care and Treatment) (Scotland) Act 2003	Retain on case file	Last action/death of adult	20 years	Review	Business Requirement	Mental Health (Social Circumstances Reports) (Scotland) regulations 2005. SSI 2005 No 310 Regulation 2	taken from SCARRS, Trigger, Retention and Disposal Action updated by Service	1.1	
01.006.024	Supporting adults	Content of Part 9 Care Plan	Retain on case file	Last action/death of adult	20 years	Review	Business Requirement	Mental Health (content and amendment of Part 9 care plans) (Scotland) Regulations 2005. SSI2005 No 312 Regulation 2	taken from SCARRS, Trigger, Retention and Disposal Action updated by Service	1.1	
01.006.025	Supporting adults	Interviews	Retain on case file	1. Last action 2. Death of adult	10 years 5 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 8	taken from SCARRS, retention updated by Service	1.1	
01.006.026	Supporting adults	Medical examinations	Retain on case file	1. Last action 2. Death of adult	10 years 5 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 9	taken from SCARRS, retention updated by Service	1.1	
01.006.027	Supporting adults	Request for records	Retain on case file	1. Last action 2. Death of adult	10 years 5 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 10. When not made during a visit then the request must be in writing This includes electronic means	taken from SCARRS, retention updated by Service	1.1	
01.006.028	Supporting adults	Assessment orders (Issued by Sheriff. Expires 7 days from issue.)	Retain on case file	1. Last action 2. Death of adult	10 years 5 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 11	taken from SCARRS, retention updated by Service	1.1	
01.006.029	Supporting adults	Removal orders(Issued by Sheriff. Expires 7 days from issue.)	Retain on case file	1. Last action 2. Death of adult	10 years 5 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 14	taken from SCARRS, retention updated by Service	1.1	
01.006.030	Supporting adults	Banning order	Retain on case file	1. Last action 2. Death of adult	10 years 5 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 19. Expires (a) On a specified date; (b) The date recalled; or (c) 6 months after it is granted	taken from SCARRS, retention updated by Service	1.1	
01.006.031	Supporting adults	Report of a visit (It is assumed a report of a visit under Section 36 will be required)	Retain on case file	1. Last action 2. Death of adult	10 years 5 years	Destroy	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10. Section 36	taken from SCARRS, retention updated by Service	1.1	
01.006.032	Supporting adults	Adult Protection Committee	Procedures, practices, arrangements	Until superseded	5 years	Destroy or Transfer to Archive	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10 Section 42. Consider for permanent preservation in an archive. See Democracy schedule.	taken from SCARRS	1.0	

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01.006.034	Supporting adults	Adult Protection Committee	Biennial report	1. Last action 2. Death of adult	10 years 5 years	Destroy or Transfer to Archive	Business Requirement	Adult Support and Protection (Scotland) Act 2007. 2007 asp10. Section 46. Consider for permanent preservation in an archive. See Democracy schedule.	taken from SCARRS, trigger and retention updated by Service	1.1	
01.006.FC.001	Supporting adults	Register - Blind		Death of person	1 year	Destroy	Business Requirement		added by service	1.1	
01.006.FC.002	Supporting adults	Joint Loan Equipment Scheme paperwork		submission of grant claim	10 years	Destroy	Business Requirement		added by service	1.1	
01.007	Supporting disabilities										
	Supporting disabilities	Kept in client case file and follow appropriate retention period							taken from SCARRS	1.0	
01.008	Adults with Incapacity										
01.008.001	Adults with Incapacity	Complaints relating to Guardianship		Current year	10 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. asp 4 Section 10	taken from SCARRS, retention updated by Service	1.1	
01.008.002	Adults with Incapacity	Power of Attorney		Power of Attorney ceases	10 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4 Section 15 The Adults with Incapacity (Certificate in Relation to Powers of Attorney) (Scotland) Regulations 2001. SSI 2001 No 80. To be in writing	taken from SCARRS, retention updated by Service	1.1	
01.008.003	Adults with Incapacity	Records – Attorneys A continuing or welfare attorney shall keep records of the exercise of his powers		Guardianship ceases	10 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4 Sections 21, 30 To be in writing	taken from SCARRS, retention updated by Service	1.1	
01.008.004	Adults with Incapacity	Statement of resident's affairs		Guardianship ceases	10 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Section 43. To be in writing	taken from SCARRS, retention updated by Service	1.1	
01.008.005	Adults with Incapacity	Intervention orders A person authorised under an intervention order shall keep records of the exercise of his powers.		Guardianship ceases	10 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Section 53 (3), 54. To be in writing	taken from SCARRS, retention updated by Service	1.1	
01.008.006	Adults with Incapacity	Guardianship Order A guardian shall keep records of the exercise of his powers		Guardianship ceases	10 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Sections 57, 65. To be in writing	taken from SCARRS, retention updated by Service	1.1	
01.008.007	Adults with Incapacity	Management Plan		Guardianship ceases	10 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Schedule 2 - 1. To be in writing	taken from SCARRS, retention updated by Service	1.1	
01.008.008	Adults with Incapacity	Inventory of estate		Guardianship ceases	10 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Schedule 2 - 3. To be in writing	taken from SCARRS, retention updated by Service	1.1	
01.008.009	Adults with Incapacity	Accounts		Current financial year	10 years	Destroy	Business Requirement	Adults with Incapacity (Scotland) Act 2000. 2000 asp 4. Schedule 2 - 7 As prescribed by the Public Guardian	taken from SCARRS, retention updated by Service	1.1	

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01	ADULT CARE SERVICES										
01.008.010	Adults with Incapacity	Medical treatment certificates		Death or Guardianship ceases	10 years	Destroy	Business Requirement	The Adults with Incapacity (Medical Treatment Certificates) (Scotland) Regulations 2002 SI 2002 No 208. Regulation 2. As per schedule	taken from SCARRS, retention updated by Service	1.1	
01.008.011	Adults with Incapacity	Certificate of Incapacity		Certificate lapses	10 years	Destroy	Business Requirement	The Adults with Incapacity (Management of Residents' Finances) (Scotland) Regulations 2003. SSI 2003 No 155. Regulation 2. To be in writing Schedule 1 & 2	taken from SCARRS, retention updated by Service	1.1	