

ADULT CARE SERVICES							
Reference	Activity / Records Series	Description / Example Record Types	Trigger - event that prompts start of retention period	Retention Period	Disposal Action	Authority	Citation/ Notes
<b>1</b>	<b>Carers</b>						
1.1	Staff Carer files - see Retention Schedule: Human Resources	Cross reference to Human Resources Retention Schedule					
<b>2</b>	<b>Community support</b>						
2.1	Kept in Adult Care Customer file and follow appropriate retention period	Cross reference to row 3.11 & 3.12 Adult Care Customer File					
<b>3</b>	<b>Care Services (including, Residential homes Home care and housing support services, regulated and non-regulated)</b>						
3.1	Service file -Care Service management records	monitoring, register of admissions and discharges, meetings, correspondence	End of financial year	6 years	Confidential Destruction	Business Requirement	
3.2	Service file -Care Service management records	Communications Book/Diary	End of financial year	2 years	Confidential Destruction	Business Requirement	
3.3	Service file -Care Service management records	Visitor books	End of financial year	2 years	Confidential Destruction	Business Requirement	
3.4	Service file -Care Service management records	Handover sheets	End of financial year	2 year	Confidential Destruction	Business Requirement	
3.5	Service file -Care Service management records	Daily list of persons employed, Rota	End of financial year	6 year	Confidential Destruction	Business Requirement	
3.6	Service file -Team Meeting Records	Team meeting/forum, minutes & agenda,	End of financial year	6 year	Confidential Destruction	Business Requirement	Team meeting records used to evidence team development & practice to Care Inspectorate
3.7	Service file -Service Literature	Background information, Information Leaflets, Complaints Leaflets	Date superseded / End of service	6 years	Confidential Destruction	Business Requirement	
3.8	Service file -Local Protocols	Service Protocol, Managers Toolkit, Aims and Objectives Mission Statement	Date superseded / End of service	6 years	Confidential Destruction	Business Requirement	
3.9	Service file -Care Service management records	Fire and emergency procedures.; Fire drills and alarm tests. Maintenance of equipment.	Cross Reference to Health & Safety Retention Schedule				
3.10	Service file -Care Service management records	Strategy, planning, Improvement Plans	Cross reference to Assurance (Strategy) Retention Schedule				

3.11	Adult Care Customers File: Where no statutory measures were taken (legal restrictions)	Records documenting the preparation, review and revision of a 'personal plan' for a Adult Care Customer, financial transactions undertaken for a Adult Care Customer; liaisons with social workers regarding the type of care being provided to a Adult Care Customer or problems with providing home care, administration of medicines to a Adult Care Customer. Records held must include those shown in "Adult Care Customer File records" appendix	Date file closed - last action taken	6 years	Confidential Destruction	Business Requirement	
3.12	Adult Care Customers File: Where statutory measures were taken (legal restrictions)	Records documenting the preparation, review and revision of a 'personal plan' for a Adult Care Customer, financial transactions undertaken for a Adult Care Customer; liaisons with social workers regarding the type of care being provided to a Adult Care Customer or problems with providing home care, administration of medicines to a Adult Care Customer. Records held must include those shown in "Adult Care Customer File records" appendix	Date file closed - last action taken	10 years	Confidential Destruction	Business Requirement	
3.13	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. Rota, leave and Attendance	Cross reference to Human Resources Retention Schedule				
3.14	Notification to the Care Inspectorate - Spreadsheet of notifications	Spreadsheet of notifications	End of Financial Year / End of Service	5 years	Confidential Destruction	Business Requirement	
3.15	Notification of death, illness and other events sent to the Care Inspectorate relative to a Adult Care Customer	Cross reference to row 3.8 & 3.9 Adult Care Customer file	Cross reference to row 3.8 & 3.9 Adult Care Customer file				
3.16	Notification to the Care Inspectorate relative to a manager,	These records include:-Appointment of a manager; Change of Manager, Change of a name of Manager, Proposed absence of manager for a continuous period of more than 28 days; Unfitness of a manager;	Cross reference to Human Resources Retention Schedule				
3.17	Notification of dismissal to regulatory body		Cross reference to Human Resources Retention Schedule				

3.18	Notification of changes sent to the Care Inspectorate relative to a provider	These records included decisions made in respect of: Change of provider Change of premises Change of ownership of a body corporate or identity of its officers Change of identity of partners	End of year	6 years	Confidential Destruction	Business Requirement	
3.19	Complaints	records documenting the handling of complaints	Cross Reference to Wheatley 360 Retention Schedule				
3.20	Application to Local Authority to register a care service under s33(1)c Regulation of Care (Scotland) Act 2001	Application to Local Authority	Date superseded / End of service	6 years	Confidential Destruction	Legal Requirement	The Regulation of Care (Applications and Provision of Advice) (Scotland) Regulations 2002 SSI 2002/113(3)
3.21	Certificate of registration	Certificate of registration	Date superseded / End of service	6 years	Confidential Destruction	Legal Requirement	Regulation of Care (Scotland) Act 2001. 2001 asp 8 Section 9 To be displayed on premises concerned.
3.22	Service Specification from the local authority	Service Specification from the local authority	Date superseded / End of contract	6 years	Confidential Destruction	Legal Requirement	This contains the Statement of aims and objectives as required under the Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 3
<b>4</b>	<b>Supporting adults</b>						
4.1	Kept in Adult Care Customer file and follow appropriate retention period	Cross reference to row 3.11 & 3.12 Adult Care Customer File	Cross reference to row 3.11 & 3.12 Adult Care Customer File				
<b>5</b>	<b>Supporting disabilities</b>						
5.1	Kept in Adult Care Customer file and follow appropriate retention period	Cross reference to row 3.11 & 3.12 Adult Care Customer File	Cross reference to row 3.11 & 3.12 Adult Care Customer File				
<b>6</b>	<b>Adults with Incapacity</b>						
6.1	Complaints relating to Guardianship	records documenting the handling of complaints relating to guardianship	Cross Reference to Wheatley 360 Retention Schedule				
6.2	Appointed representative	Power of Attorney, Guardianship Orders, Intervention Order, Welfare and Financial Appointee.	Cross reference to row 3.12 Adult Care Customer file				
6.3	Appointed representative	Central record of signatories	date representation changes or expires	Nil	Confidential Destruction	Business Requirement	
6.4	Certificate of Incapacity Schedule 1 & 2		Certificate lapses	6 years	Confidential Destruction	Legal Requirement	The Adults with Incapacity (Management of Residents' Finances) (Scotland) Regulations 2003. SSI 2003 No 155, 266. Regulation 2. To be in writing Schedule 1 & 2