

A - Business Function	B - Activity	C - Process - sub group of B where relevant	D - Policy and procedure where relevant	E - Records Series - group of records relating to B or C	F - examples of particular records or information within E	G - Trigger	H - Retention period	I - Disposal Action	J - Justification	K - Citation/Notes	L - Disposal authorised by	M - Contains Personal data?
Communications & Engagement	Comments and enquiries			Records documenting processing of "business as usual" (non case specific) comments and enquiries about BTHA including responses		Last action	1 year	Destroy	Business requirement		Chief Executive	Yes
Communications & Engagement	Communications with external organisations			requests for information and other general correspondence		Last action	3 years	Review for ongoing value	Business requirement		Chief Executive	Yes
Communications & Engagement	Complaints			Records documenting the handling of a complaint against the organisation		Last action on complaint	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45; Anonymised reports and statistics should be retained to enable monitoring of performance over time-see Governance/Quality and Performance	Chief Executive	Yes
Communications & Engagement	Internal communications			Staff memos, newsletters		End of current year	3 years	Destroy	Business requirement		Chief Executive	Yes
Communications & Engagement	Mail processing			Incoming and outgoing mail logs and registers		End of current year	3 years	Destroy	Business requirement		Chief Executive	Yes
Communications & Engagement	Publicity and promotion			Organisation of events, campaigns and marketing materials to promote BTHA and its services to external stakeholders	Presentations, leaflets, publications	Superseded/ Conclusion of event or campaign	3 years	Review for ongoing business use and historical value	Business requirement	See Operations for Outreach projects and programmes	Chief Executive	Yes
Communications & Engagement	Surveys and consultation			individual responses	Records documenting identifiable individual responses to the survey.	immediately anonymised summaries have been created	Nil	Destroy	Statutory	Data Protection legislation - destroy immediately anonymised summaries have been created	Chief Executive	Yes
Communications & Engagement	Surveys and consultation			Anonymised analysis, summaries, reports and statistics		Superseded	5 years	Destroy	Business requirement		Chief Executive	No
Finance	N/A			Operations Projects & other team copies of financial records		End of financial year	1 year	Destroy	Business requirement	Copies held for admin purposes, HQ holds master	Relevant Head of Service & Finance Director	Yes

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Finance	Accounts and Audit			Records documenting the preparation of BTHA's consolidated annual accounts and financial statements	Annual corporate financial reports: Consolidated annual reports, Consolidated financial statements, Operating statements, General ledger	End of financial year (on completion of audit)	6 years	Destroy	Statutory	Taxes Management Act 1970	Finance Director	No
Finance	Accounts and Audit			Annual Signed Accounts		N/A	Permanent	Retain for business and historical value	Statutory	Companies Acts 1985/1989	Finance Director	No
Finance	Accounts and Audit			Periodic financial reports	Consolidated monthly & quarterly reports, financial statements and associated working papers; monthly accrual statements, cash flow statements, creditor/debtor listings and reports.	Date superseded	6 years	Destroy	Business requirement		Finance Director	No
Finance	Accounts and Audit			Internal auditing records - no investigations		Date audit closed	5 years	Review for historical value	Business requirement	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45; Anonymised reports and statistics should be retained to enable monitoring of performance over time-see Governance/Quality and Performance	Finance Director	Yes
Finance	Accounts and Audit			Internal auditing records - investigations	investigations involving prosecution, disciplinary action etc	Completion of court proceedings/disciplinary process	5 years	Review for historical value	Business requirement	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45; Anonymised reports and statistics should be retained to enable monitoring of performance over time-see Governance/Quality and Performance	Finance Director	Yes

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Finance	Asset Management			Fixed Asset register	File containing lead schedules Depreciation calculations Copy invoices	End of financial year	20 years for property assets; 6 years for all other assets	Destroy	Business requirement	Taxes Management Act 1970 c9; Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45; VAT Act 1994; Audit Commission Act 1998	Finance Director	No
Finance	Asset Management			Inventories		Superseded	1 year	Destroy	Business requirement		Finance Director	No
Finance	Asset Management			Disposal registers		Disposal of Asset	20 years for property assets; 6 years for all other assets	Destroy	Business requirement	Taxes Management Act 1970 c9; Audit Commission Act 1998	Finance Director	No
Finance	Banking			Records documenting the opening and closure and routine administration of bank accounts.		Closure of account	6 years	Destroy	Business requirement		Finance Director	No
Finance	Banking			Records documenting regular payment instructions for bank accounts.		Termination of instruction	6 years	Destroy	Business requirement		Finance Director	Yes
Finance	Banking			Records documenting the deposits/withdrawals/t transfer of funds.		End of financial current year	6 years	Destroy	Business requirement	Keeping VAT records HMRC Reference:Notice 700/21 (October 2013)	Finance Director	Yes
Finance	Budget planning and monitoring			Consolidated budget		End of financial year	6 years	Destroy	Business requirement		Finance Director	No
Finance	Budget planning and monitoring			Project and departmental budgets		End of financial year	3 years	Destroy	Business requirement		Finance Director	No
Finance	Expenditure (except payroll)			Processing and payment of expense claims including travel and subsistence	Expense claim forms, receipts	End of current financial year	6 years	Destroy	Business requirement	Taxes Management Act 1970 c.9; Keeping VAT records HMRC Reference:Notice 700/21 (October 2013)	Finance Director	Yes
Finance	Expenditure (except payroll)			Processing and payment of purchase orders	Invoices, goods received notes	End of current financial year	6 years	Destroy	Business requirement	Taxes Management Act 1970 c9; Keeping VAT records HMRC Reference:Notice 700/21 (October 2013)	Finance Director	No

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Finance	Expenditure (except payroll)			Petty cash	Petty cash book Supporting receipts Bank statements	End of current financial year	6 years	Destroy	Business requirement	Keeping VAT records HMRC Reference:Notice 700/21 (October 2013)	Finance Director	No
Finance	Grant funding administration			processing of service user applications for grant funding		End of current financial year??	6 years	Destroy	Business requirement		Finance Director	Yes
Finance	Income & Investment			Processing of payments due to BTHA	Service user rent and other payments, local authority payments, payment of income streams; includes action taken to collect outstanding payments eg rent arrears	End of current financial year on receipt of full payment	6 years	Destroy	Business requirement	Copies also held in Service user files in Projects	Finance Director	Yes
Finance	Insurance Management	Claims processing		Claims records		Date all obligations and entitlements concluded or for minors, 16th birthday	5 years* see note	Destroy	Business requirement	For particularly serious or contentious cases or cases of proven negligence, consider retention up to 20 years. For cases of employer's liability, consider retention up to 40 years.	Finance Director	Yes
Finance	Insurance Management	Policy management		Insurance policy records	Policy documents and certificates of insurance	Date all obligations and entitlements concluded.	5 years	Destroy	Business requirement	Prescriptions and Limitations (Scotland) Act 1973 and 1984.	Finance Director	
Finance	Insurance Management	Policy management		Employers Liability Insurance certificates		Date all obligations and entitlements concluded.	40 years	Destroy	Business requirement	The Employers Liability (Compulsory Insurance) Regulations 1998	Finance Director	
Finance	Insurance Management	Policy management		Policy management - renewal	Policy and tender renewal documents	Policy renewal date	5 years	Destroy	Business requirement		Finance Director	

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Finance	Payroll and Pensions			Payroll records - major	copy payslips, payroll year end prints, Salaries - cumulative listings	End of tax year	6 years	Destroy	Statutory	Income Tax (Employments Regulations) S.I. 1993 / 744; National Minimum Wage Regulations S.I. 1999 / 584; Taxes Management Act 1970; Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45;	Finance Director	Yes
Finance	Payroll and Pensions			Payroll records - minor	Timesheets, monthly payroll prints	End of tax year	3 years	Destroy	Statutory	Income Tax (Employments Regulations) S.I. 1993 / 744; National Minimum Wage Regulations S.I. 1999 / 584; Taxes Management Act 1970; Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45;	Finance Director	
Finance	Payroll and Pensions			P45 (employee leaving)		End of employment	5 years	Destroy	Statutory	Taxes Management Act 1970	Finance Director	
Finance	Payroll and Pensions			P60		End of current year	2 years	Destroy	Statutory	Taxes Management Act 1970; Sage has 7 year retention rule for all records - follow ICO guidance on putting data beyond use in legacy systems and ensure retention and disposal functionality included in replacement system spec	Finance Director	
Finance	Payroll and Pensions			Statutory Sick Pay scheme records		End of current tax year	3 years	Destroy	Statutory	Statutory Sick Pay (General) Regulations S.I. 1982 / 894	Finance Director	
Finance	Payroll and Pensions			Statutory Maternity Pay scheme records		End of current tax year	3 years	Destroy	Statutory	The Statutory Maternity Pay (General) Regulations S.I. 1986 / 1960 as amended by SI 2005 No 989	Finance Director	

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Finance	Payroll and Pensions			Pension scheme reports	Accounts, returns, valuation	End of financial year (on completion of audit)	6 years	Destroy	Statutory	Taxes Management Act 1970; Income and Corporation Taxes Act, 1988	Finance Director	
Finance	Payroll and Pensions			Pension scheme management	Policy documents; Statement of Principles governing decisions about investments	Superseded/ Lifetime of Scheme	10 years	Destroy	Statutory	Check this for BTHA pension scheme - The Local Government Pension Scheme (Management and Investment of Funds) (Scotland) Regulations 2010. S.S.I. 2010/233 Reg 12	Finance Director	
Finance	Payroll and Pensions			Individual staff pension records		End of current year after date of payment	10 years	Destroy	Business requirement		Finance Director	
Finance	Procurement	Contract management		Contract management - key records	Final contract, contract extensions and amendments, reports from contractors, surveys and inspections, complaints, payment disputes, minutes and papers of meetings, service level agreements	End of Contract/contract extension	5 years - 20 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c.52 and 1984 c.45 ; Longer retention period for major construction projects and contracts related to activities where awareness of harm/damage may not occur until some time after cause occurred	Finance Director	Yes
Finance	Procurement	Contract management		Contract register		Date superseded	Current only	Maintain current only, and update as required	Business requirement		Finance Director	Yes

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Finance	Procurement	Tendering		Tenders - successful and key records	Business case/requisition; contract advertisement, statements of interest & tender response (successful); pre-qualification questionnaire (PQQ) and evaluation, draft and agreed specification, evaluation criteria, invitation to tender	Award of contract		Transfer to Contract file and retain in line with contract management	Business requirement	Keep with Contract file once awarded and follow contract management retention	Finance Director	Yes
Finance	Procurement	Tendering		Tenders - unsuccessful	Includes statements of interest, tender document, tender responses	Award of contract	1 year	Destroy	Statutory	Data Protection legislation	Finance Director	Yes
Finance	Procurement	Tendering		Tenders - administrative records	Issue of invitations to tender Tender receipt records Tender opening record	Award of contract	1 year	Destroy	Statutory	Data Protection legislation	Finance Director	Yes
Finance	Taxation			Records documenting the preparation and submission of BTHA tax returns.		End of tax year	6 years	Destroy	Statutory	Taxes Management Act 1970, c.9;	Finance Director	No
Governance	Equalities			Completed equality forms		Once entered	Nil	Destroy	Statutory	Data Protection legislation	Chief Executive	Yes
Governance	Equalities			Equality monitoring records		End of financial year	1 year	Destroy	Business requirement		Chief Executive	No
Governance	Equalities			Equality monitoring reports		End of financial year	5 years	Destroy	Business requirement		Chief Executive	No
Governance	Health & Safety	Accidents and incidents		Accidents and incident reports and register - relating to adults	Investigation file including final report	Date of entry/ Accident book - date of last entry.	5 years	Destroy	Statutory	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 SI 2013 No 1471 Regulation 12(2). Prescription and Limitation (Scotland) Act 1973; Retention allows for accident claims where awareness	Property Manager	Yes

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Governance	Health & Safety	Accidents and incidents		Accidents and incident reporting - relating to children	Investigation file including final report	Date of birth of child	25 years	Destroy	Statutory	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 SI 2013 No 1471 Regulation 12(2). Prescription and Limitation (Scotland) Act 1973	Property Manager	Yes
Governance	Health & Safety	Monitoring		Routine facilities and equipment safety monitoring inspections - internal	Yearly inspection Daily / weekly/ monthly checks (eg fire alarms, noise in the workplace, monitoring of display screens)	Date of inspection/superseded Date of inspection	Yearly - 2 years Weekly/Monthly - 1 year	Destroy	Business requirement		Property Manager	Yes
Governance	Health and Safety	Monitoring		Routine facilities and equipment safety monitoring inspections - external	Safety inspections, audit reports, certification (eg gas, legionella, electrical and fire safety)	Date superseded./ Date of inspection	5 years	Destroy	Statutory/Business		Property Manager	Yes
Governance	Health and Safety	Hazardous substances control		Hazardous substances	COSHH assessment reports and recommended actions	Date of last action.	5 years but if the record is representative of the personal exposures of identifiable employees, retain for 40 years	Destroy	Statutory	The Control of Substances Hazardous to Health Regulations 2002	Property Manager	Yes
Governance	Health and Safety	Hazardous substances control		Radon Monitoring	Dose assessment and recording of classified person (approved dosimetry service)	Date made	50 years or until person's 75th birthday	Destroy	Statutory	The Ionising Radiation Regulations 1999. SI 1999 No 3232. Regulation 21(3)	Property Manager	Yes
Governance	Health and Safety	Hazardous substances control		Radon Monitoring	Monitoring Results	Date recorded	2 years	Destroy	Statutory	The Ionising Radiation Regulations 1999. SI 1999 No 3232. Regulation 21(3)	Property Manager	No
Governance	Health and Safety	Hazardous substances control		Asbestos control	Employee information/ instruction/ training - Recommend add to personnel record	Termination of employment	6 years	Destroy	Business requirement	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 10	Property Manager	yes

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Governance	Health and Safety	Hazardous substances control		Asbestos control	Arrangements to deal with accidents, incidents and emergencies	In case of any accident, incident or emergency OR Supperceded	40 years 3 years	Destroy	Business requirement	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 15. Information to be displayed in the work place and made available to accident and emergency services	Property Manager	No
Governance	Health and Safety	Hazardous substances control		Asbestos control	Record or suitable summary of air monitoring of employees exposure to asbestos	Date of monitoring	5 years or 40 years if medical record is required	Destroy	Statutory	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 19	Property Manager	Yes
Governance	Health and Safety	Hazardous substances control		Asbestos control	Health records - where exposure exceeds the action level	Date of last incident	40 years	Destroy	Statutory	Control of Asbestos at Work Regulations 2012 SI 2012 No 632. Regulation 22 (b) Original or copy may be kept. Any employee is allowed access to the record if reasonable notice is given.	Property Manager	yes
Governance	Health and Safety	Hazardous substances control		Asbestos control	Medical examination certificates	Date of issue	4 years	Destroy	Statutory	Control of Asbestos at Work Regulations 2012 SI 2012 No 632 Regulation 22(4)	Property Manager	Yes
Governance	Health and Safety	Hazardous substances control		Asbestos control	Exemption certificate	Expired/revo ked	40 years	Destroy	Statutory	Control of Asbestos at Work Regulations 2012 SI 1012 No 632 Regulation 32. Consider adding a copy of the certificate to the health records and retaining for 40 years	Property Manager	No

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Governance	Health and Safety	Risk Management		Risk assessments		Date of last assessment / last action.	3 years	Destroy	Business requirement	Management of Health and Safety at Work Regulations 1992; Separate from individual staff risk assessments under occupational health - see HR	Property Manager	Yes
Governance	Health & Safety	Training		First-aid & Manual Handling records	Letter advising of award of certificate & course attendance sheet;	End of current year.	3 years	Destroy	Business requirement	These are signed copies of attendance. Should attend training at three year intervals or sooner if significant changes in health or job content. see also retention of records relating to Supported Accommodation required by Care Inspectorate	Property Manager	yes
Governance	Health & Safety	Training		Fire Safety training	Proof of suitable training. Attach to personnel file	End of current year.	10 years	Destroy	Statutory	Fire Safety (Scotland) Regulations 2006. SSI 2006 No 456 Regulation 20 - 10 year retention provides evidence of provision of suitable training throughout employment	Property Manager	yes
Governance	Health & Safety	Vehicle use		Records relating to the use of staff vehicle for BTHA business	Annual declaration	Superseded	Nil	Destroy	Business requirement		Property Manager	yes
Governance	Information Management	Data Protection		record of subject access request processing	initial request, response, related correspondence and other supporting documentation	Completion of request	3 years	Destroy	Business requirement	Data Protection Legislation	Chief Executive	Yes
Governance	Information Management	Data Protection		record of subject access request processing where appeal made to UK Information Commissioner	initial request, response, appeal records, related correspondence and other supporting documentation	Outcome of appeal	6 years	Destroy	Business requirement	Data Protection Legislation	Chief Executive	Yes

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Governance	Information Management	Data protection		general compliance records	Files re. DP registration, DP audit, record of processing activities, data processing and sharing agreements, data breaches, security, training, etc,	Current year	3 years	Destroy	Business requirement	Data Protection Legislation	Chief Executive	Yes
Governance	Information Management	Freedom of information (FoISA)		Processing of requests for information	initial request, response, related correspondence and other supporting documentation	Completion of request	3 years	Destroy	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13	Chief Executive	Yes
Governance	Information Management	Freedom of information (FoISA)		Processing of requests for information where appeal made to Scottish Information Commissioner	initial request, response, appeal records, related correspondence and other supporting documentation	Outcome of appeal	6 years	Destroy	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13	Chief Executive	Yes
Governance	Information Management	Freedom of information (FoISA)		BTHA Publication Scheme		Superseded	3 years	Review for historical value	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13	Chief Executive	No
Governance	Information Management	Environment Information Regulations		Processing of requests for information	initial request, response, related correspondence and other supporting documentation	Completion of request	3 years	Destroy	Business requirement	The Environmental Information (Scotland) Regulations 2004 SSI 2004/520	Chief Executive	Yes
Governance	Information Management	Environment Information Regulations		Processing of requests for information where appeal made to Scottish Information Commissioner	initial request, response, appeal records, related correspondence and other supporting documentation	Outcome of appeal	6 years	Destroy	Business requirement	The Environmental Information (Scotland) Regulations 2004 SSI 2004/520	Chief Executive	Yes
Governance	Information Management	Records Management		Records surveys	Information relating to record audits	Current	2 years	Destroy	Business requirement		Chief Executive	No
Governance	Information Management	Records Management		Metadata / indexing schemes and taxonomy	Business classification, security classifications, records classification, controlled terms/taxonomy etc..	Current	Until superseded	Review for historical value	Business requirement	Consider historical value.	Chief Executive	No

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Governance	Information Management	Records Management		Information asset register		Superseded	5 years	Destroy	Business requirement		Chief Executive	No
Governance	Information Management	Records Management		Original paper copies of digitised documents where no requirement to keep the original		Completion of relevant quality checks	Nil	Destroy	Business requirement	Paper information may be destroyed immediately after the scanned image has been checked and accepted if the scanning is completed to the relevant BSI standard;	Chief Executive	Yes
Governance	Information Management	Records Management		Physical records store transfers and retrievals		Destruction of record	2 years	Destroy			Chief Executive	Yes
Governance	Information Management	Records Management		Retention schedules		Superseded	20 years	Destroy	Business requirement		Chief Executive	No
Governance	Information Management	Records Management		Lists of Records destroyed	records destruction register	Date of destruction	20 years	Destroy	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13, S61 RM code	Chief Executive	Yes
Governance	Information Management	Records Management		Records disposal certificated	Disposal certificates	Date of destruction	20 years	Destroy	Business requirement	Freedom of Information (Scotland) Act 2002 asp 13, S61 RM code	Chief Executive	No
Governance	Information Management	Records Management		Records retention issues log		Date of last action	6 years	Destroy	Business requirement	Consider retaining the summary statistics as a measurement of service delivery and for appraising the effectiveness of retention schedules.	Chief Executive	No
Governance	Meetings Management	Board and Committees Management		Record of meetings including agenda, finalised minutes and associated papers		N/A	Life of organisation/ permanent	Retain	Business requirement	Historic value - record of decision making and development of the organisation	Chief Executive	Yes
Governance	Meetings Management	Board and Committees Management		Board membership	Management Board recruitment details, application forms	End of membership	5 years	Destroy	Business requirement		Chief Executive	Yes
Governance	Meetings Management	Board and Committees Management		Standing orders		N/A	Life of organisation/ permanent	Retain	Business requirement	Historic value - record of decision making and development of the organisation	Chief Executive	No
Governance	Meetings Management	Board and Committees Management		Committee structure		N/A	Life of organisation/ permanent	Retain	Business requirement	Historic value - record of decision making and development of the organisation	Chief Executive	Yes
Governance	Meetings Management	External groups and partner working		Meeting records, Recommendations; briefing and discussion papers		End of current year/superseded	5 years	Destroy	Business requirement		Head of relevant function	Yes

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Governance	Meetings Management	Operational teams		Record of meetings including agenda, finalised minutes and associated papers		End of financial year	3 years	Destroy	Business requirement	Record of decision making and development of functional activities	Head of relevant function	Yes
Governance	Meetings Management	Senior management		Record of meetings including agenda, finalised minutes and associated papers		N/A	Life of organisation/ permanent	Retain		Historic value - record of decision making and development of the organisation	Chief Executive	Yes
Governance	Policy and procedure			Strategic policy	Finalised/ published version & significant supporting records	N/A	Life of organisation/ permanent	Retain		Historic value - record of decision making and development of the organisation	Chief Executive	No
Governance	Policy and procedure			Operational policy, procedures and guidance	Finalised/ published version & significant supporting records	When superseded/ obsolete	5 years	Review for ongoing business use and historical value	Business requirement		Head of relevant function	No
Governance	Policy and procedure			Working papers		Publication	none	destroy	Business requirement		Head of relevant function	No
Governance	Policy and procedure			Standard templates and forms		When superseded/ obsolete	none	destroy	Business requirement		Head of relevant function	No
Governance	Quality and Performance	External Inspection		Records relating to external inspections and audit		date of Inspection report	5 years	destroy	Business requirement	Retain anonymised reports and statistics of longer term business value	Chief Executive	Yes
Governance	Quality and Performance	Statutory reporting		Final return of statutory performance data as required by a statutory authority		Date of return	5 years	destroy	Business requirement		Chief Executive	No
Governance	Quality and Performance	Internal monitoring and management reporting		Records relating to internal performance monitoring and review of quality, efficiency, or performance of a BTHA service or business unit	Final reports - Policy review; Strategic plan review; operational plan review	Approval of report	5 years	destroy	Business requirement	Retain anonymised reports and statistics of longer term business value	Chief Executive	Yes
Governance	Risk Management			Risk assessment	Risk register, risk assessments	Superseded	5 years	Destroy	Business requirement		Chief Executive	No
Governance	Risk Management			Business continuity and disaster planning	Action planning and testing records	Plan superseded	5 years	Destroy	Business requirement		Chief Executive	Yes
Governance	Risk Management			Emergency response records	Action planning and testing records	Last action	5 years	Review for historical value	Business requirement		Chief Executive	Yes
Governance	Strategy and planning			Operational Plans		Plan superseded	5 years	Destroy	Business requirement		Chief Executive	No

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Governance	Strategy and planning			Strategic Plans		N/A	Life of organisation/ permanent	Retain	Business requirement	Historic value - record of decision making and development of the organisation	Chief Executive	No
Governance	Strategy and planning			Work schedules	Calendars, rotas, diaries etc..	End of current year	1 year (unless required for audit or other evidential purposes)	Destroy	Business requirement		Chief Executive	No
Governance	Legal Affairs			Legal opinion		Superseded/ Obsolete	5 years	Destroy	Business requirement		Chief Executive	Yes
Human Resources	Employee administration			Absence monitoring		End of current tax year	3 years	Destroy	Business requirement		HR Manager	Yes
Human Resources	Employee administration			Discipline - Documentation relating to the discipline of employees.		Termination	6 years	Destroy	Business requirement	The Employment Act 2002 deals with dispute resolution but does not give time limits for record retention. See also ACAS code of practice on disciplinary and grievance procedures. http://www.acas.org.uk/media/pdf/k/b/Acas_Code_of_Practice_1_on_disciplinary_and_grievance_procedures-accessible-version-Jul-2012.pdf	HR Manager	Yes
Human Resources	Employee administration			Discipline - Final disciplinary warnings		Date of warning	18 months / 6 months after warning	Destroy	Business requirement	The Employment Act 2002 deals with dispute resolution but does not give time limits for record retention. ACAS Code of Practice - Recommends continued retention on Employee File	HR Manager	Yes
Human Resources	Employee administration			Discipline - No warning given		Date of decision not to proceed	Immediately	Destroy	Business requirement	Proceedings where accusation proved to be unfounded. DPA	HR Manager	Yes

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Human Resources	Employee administration			Discipline - Oral disciplinary warnings		Date of warning	6 months	Destroy	Business requirement	ACAS Code of Practice - Recommends continued retention on Employee File	HR Manager	Yes
Human Resources	Employee administration			Discipline - Disciplinary warnings involving children or vulnerable adults		Termination	25 years	Destroy	Business requirement		HR Manager	Yes
Human Resources	Employee administration			Discipline - Written disciplinary warnings		Date of warning	12 months	Destroy	Business requirement	ACAS Code of Practice - Recommends continued retention on Employee File	HR Manager	Yes
Human Resources	Employee administration			Disciplinary action - Written statement to employee who is dismissed while absent during adoption leave		Termination of employment	6 years	Destroy	Statutory	The Employment Rights Act 1996 Section 92 (4A) To be in writing	HR Manager	Yes
Human Resources	Employee administration			Disclosure/PVG check - background info		Outcome of disclosure check	Nil	Destroy		This does not include proof of disclosure check record - retain the following on employee file - a record of the date of issue of the Disclosure, the name of the subject, the Disclosure type, the position for which the Disclosure was requested, the unique reference number of the Disclosure and details of the recruitment decision taken.	HR Manager	Yes
Human Resources	Employee administration			Disclosure of interest		Superseded	1 year	Destroy	Business requirement		HR Manager	Yes
Human Resources	Employee administration			Employee details (posts not subject to disclosure checks)		Termination of employment	6 years	Destroy (See note)	Statutory	Need to retain record of: Name, DOB, Date of Appointment, Work history details, Titles & dates of posts held, as evidence of employment and for superannuation and pension purposes.	HR Manager	Yes

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Human Resources	Employee administration			Employee details (posts subject to disclosure checks)		Termination of employment	25 years	Destroy (See note)	Business requirement	Need to retain record of: Name, DOB, Date of Appointment, Work history details, Titles & dates of posts held, as evidence of employment and for superannuation pension purposes.	HR Manager	Yes
Human Resources	Employee administration			Employment conditions		Termination of employment	6 years	Destroy	Business requirement	Will be destroyed when employment file is destroyed.	HR Manager	Yes
Human Resources	Employee administration			Grievances		Termination of employment	6 years	Destroy	Business requirement		HR Manager	Yes
Human Resources	Employee administration			Individual training records		Termination of employment	6 years BUT if it relates to training for work with children or vulnerable adults retain for 25 years.	Destroy	Business requirement		HR Manager	Yes
Human Resources	Employee administration			Induction		Date of completion	2 years	Destroy	Business requirement	Retain on personnel file	HR Manager	Yes
Human Resources	Employee administration	Leave		Annual leave records		Current year	2 years	Destroy	Business requirement		HR Manager	Yes
Human Resources	Employee administration	Leave		Maternity/paternity leave records		Current tax year	3 years	Destroy	Business requirement	HMRC guidelines for reference	HR Manager	Yes
Human Resources	Employee administration	Performance appraisal		Performance appraisal records	Including supervision notes	Date completed	5 years	Destroy	Business requirement		HR Manager	Yes
Human Resources	Employee administration	Termination		Termination requests and notices (other than retirement)		Date of leaving	6 years	Destroy	Business requirement		HR Manager	Yes
Human Resources	Employee Occupational Health			Absence reporting		Date after action completed	5 years	Destroy	Business requirement	Access to Medical Reports Act 1988 c28 provides the general provisions on the right of access to records created after 01 January 1989. Place on personnel or occupational health file.	HR Manager	Yes

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Human Resources	Employee Occupational Health			Medical assessments		Date of birth / Termination of employment /Current year	6 / 25 years as appropriate unless a longer requirement is needed under health and safety legislation.	Destroy	Business requirement	Dependant on whether Health & Safety or Monitoring requirements are relevant. See Health and Safety schedule.	HR Manager	Yes
Human Resources	Employee Occupational Health			Occupational health (separate from employee file)		Date of birth (unless see notes)	75 years	Destroy	Statutory	Where statutory health surveillance has been undertaken records to be retained for 40 years after last consul, or 75 years after DOB, whichever is longest. See also Health and Safety.	HR Manager	Yes
Human Resources	Employee Occupational Health			Occupational health - staff training (separate from Health & Safety file)		Date course completed	50 years	Destroy	Business requirement	Attach to personnel file / occupational health file. Where records relate to training associated with the reasons for statutory Health Surveillance. Then these records should be retained for the same length of time as the individual's health record.	HR Manager	Yes
Human Resources	Employee Occupational Health			Personal risk assessments		After revised risk assessment takes place or termination of employment	6 years	Destroy	Business requirement	Where risk assessments relate to the statutory health surveillance then the assessments should be retained for the same timescale as the occupational health records. Place latest assessment on personnel file / occupational file.	HR Manager	Yes

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Human Resources	Employee Occupational Health			Sickness monitoring		Termination of employment	6 years	Destroy	Business requirement	Access to Medical Reports Act 1988 c28 provides the general provisions on the right of access to records created after 01 January 1989. Place on personnel file of occupational health file.	HR Manager	Yes
Human Resources	Employee Occupational Health			Major injuries		Termination of employment	40 years	Destroy	Business requirement	Access to Medical Reports Act 1988 c28 provides the general provisions on the right of access to records created after 01 January 1989. Section 6. Retention of reports. A copy of any medical report which a medical practitioner has supplied for employment or insurance purposes shall be retained by him for at least six months from the date on which it was supplied. Retention period may be dependent on which health and safety legislation the information falls under. May need relevant information for superannuation payments	HR Manager	Yes
Human Resources	Employee Relations			Disciplinary matters reporting		Once appropriate action taken	Until superseded	Destroy	Business requirement		HR Manager	Yes
Human Resources	Employee Relations			Employment Tribunals	Applications	Termination of employment	6 years	Destroy	Business requirement		HR Manager	Yes
Human Resources	Employee Relations			Trade union liaison - Strategy	Partnership Agreement	Superseded	Permanent	Retain for historical value	Business requirement		HR Manager	No

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Human Resources	Employee Relations			Trade union liaison - Administration	Supporting and routine documentation,	Superseded	2 years	Destroy	Business requirement		HR Manager	No
Human Resources	Equal Opportunities			Monitoring and reporting records						See Governance/Equalities	HR Manager	
Human Resources	Job Evaluation			Final report		Current	Permanent	Retain	Business requirement	This is a distinct function from Employee Monitoring (which is primarily employee focussed). This is more process focussed and may be broken down into smaller activities, for example: initial evaluation process and appeals.	HR Manager	No
Human Resources	Job Evaluation			Working papers		Date evaluation finalised	5 years	Destroy	Business requirement		HR Manager	Yes
Human Resources	Learning and Development			Training course development	Training materials	Superceded	Nil	Review for re-use and archival value	Business requirement		Learning and Development Specialist	No
Human Resources	Learning and Development			Record of internal/ external training request, attendance and evaluation.		End of current year	3 years	Destroy (see note)	Business requirement	Individual training records are kept on employee files and retained for 25 years from termination for posts subject to disclosure checks and 6 years from termination for all others	Learning and Development Specialist	Yes
Human Resources	Recruitment			Records documenting recruitment of an individual post - unsuccessful candidates	Completed application form, interview notes, correspondence	Recruitment finalised	1 year	Destroy	Statutory	Data protection legislation; 1 year period allows for any discrimination challenge, or if a vacancy occurs and the organisation believe that any other applicants may be suitable	HR Manager	Yes
Human Resources	Recruitment			Records documenting recruitment of an individual post - successful candidates	Completed application form, interview notes, correspondence	Recruitment finalised	N/A	Transfer to new employee file	Business requirement		HR Manager	Yes

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Human Resources	Recruitment			Job descriptions		Superseded	6 months	Destroy	Business requirement		HR Manager	No
Human Resources	Workforce Planning			Workforce development planning records		Date of last action	5 years	Destroy	Business requirement		HR Manager / Digital Transformation Manager	Yes
Information Technology	Systems development			Initial development of and post-implementation changes to an ICT system.		Decommissioning of system	5 years	Review for business and historical value	Business requirement	typically held in project files until implementation and relevant records subsequently transferred to system files	Digital Transformation Manager	No
Information Technology	Systems development			Initial development of an ICT system which is not implemented.		Last action on development	5 years	Destroy	Business requirement	May be of use for related future projects	Digital Transformation Manager	No
Information Technology	Systems security management			Security protocols for an ICT system.		Decommissioning of system	5 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Digital Transformation Manager	No
Information Technology	Systems security management			Opening, maintenance and closure of a user account for an ICT system.		Closure of account	1 year	Destroy	Business requirement		Digital Transformation Manager	Yes
Information Technology	Systems security management			Routine monitoring of access to, and use of, an ICT system.		End of current year	1 year	Destroy	Business requirement		Digital Transformation Manager	Yes
Information Technology	Systems security management			Detection and investigation of security breaches of an ICT system, and action taken.		Last action on incident	3 years	Destroy	Business requirement		Digital Transformation Manager	Yes
Information Technology	System operations management			Routine monitoring and testing of an ICT system, and action taken to rectify problems and optimise performance.		End of current year	1 year	Destroy	Business Requirement		Digital Transformation Manager	Yes
Information Technology	System operations management			Investigation of faults reported by users of an ICT system, and action taken to rectify problems.		Close of investigation	3 years	Destroy	Business Requirement		Digital Transformation Manager	Yes

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Information Technology	System operations management			Management of data in an ICT system, including the operation of routine data backup, archiving and deletion routines.		End of current year	1 year	Destroy	Business Requirement		Digital Transformation Manager	Yes
Information Technology	System operations management			Maintenance of the software licence(s) for an ICT system.		Expiry/ Termination of licence	5 years	Destroy	Business Requirement	Prescription and Limitation (Scotland) Act, 1973 and 1984	Digital Transformation Manager	No
Information Technology	System operations management			Management of an ICT system - system file	handover documents, user guides, system support, technical and knowledgebase documentation	Decommissioning of system	5 years	Destroy	Business Requirement		Digital Transformation Manager	No
Information Technology	System operations management			Removal / return of mobile ICT systems hardware & software from / to the BTHA premises	register or log	Return of equipment	5 years	Destroy	Business Requirement		Digital Transformation Manager	No
Information Technology	System operations management			Arrangements for the sanitisation and disposal of institutional ICT equipment	disposal log	Disposal of equipment	5 years	Destroy	Business Requirement	ensure record of disposals added to council asset disposal register - this will typically be held within Finance	Digital Transformation Manager	No
Information Technology	Systems training & support			Development of technical & application training and guidance for IT system users		superseded	1 year	Destroy	Business Requirement	for administration of training and individual staff training records see HR Retention Schedule	Digital Transformation Manager	No
Information Technology	Systems training & support			Logging, investigation and resolution of user requests for technical and application support		Close of call	1 year	Review for business value	Business requirement	May be of use for future development plans and support knowledgebase	Digital Transformation Manager	No
Operations	Referral			Record of referral which does not result in occupancy due to non appearance		Date of referral	1 week	Destroy	Business requirement		Operations Director	Yes
Operations	Referral			Record of referral which does not result in occupancy due to non acceptance	includes reason for non-acceptance	Date of referral	1 year	Destroy	Business requirement		Operations Director	Yes
Operations	Referral			Record of referral which does result in occupancy		Date of referral	In line with service user case file	Transfer to service user case file	Business requirement		Operations Director	Yes

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SPECIAL NOTE	As of October 2015 and until further notice Service User case file records due for disposal are retained under records hold procedures to ensure the protection of potentially relevant records to the Historical Child Abuse Inquiry Scotland related to Looked After and Accommodated Children (LAAC) referred to Blue Triangle Housing Association through local authorities' LAAC aftercare service											
Operations	Service delivery	Service user case management			Records documenting the preparation, review and revision of a 'personal plan' for a service user, financial transactions undertaken 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. See next three rows for what records must be included	Last action	5 years 3 years	Destroy	Business Requirement		Operations Director	Yes
Operations	Service delivery	Service user case management			Personal Plans		5 years 3 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 5	Operations Director	Yes
Operations	Service delivery	Service user case management			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		5 years 3 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (1)	Operations Director	Yes

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Operations	Service delivery	Service user case management			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		5 years 3 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (3)	Operations Director	Yes
Operations	Service delivery	Outreach projects and programmes		Records relating to the planning and delivery of individual outreach initiatives	Programme, project etc; Events, Training support, Initiatives etc..	Superseded/ completion of programme	5 years	Destroy	Business Requirement - inferred by Care Regulation requirements, meets time limits with regard to claims against BTHA under the Prescription and Limitations Act, supports re-use of information for future activities, research etc.		Operations Director	Yes
Operations	Service management			Strategy, planning, monitoring, register of admissions and discharges, visitors books, meetings, correspondence		Current year	6 years	Destroy	Business Requirement		Operations Director	Yes

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Operations	Service management			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)	Operations Director	Yes
Operations	Service management			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					Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 19 (2)	Operations Director	Yes
Operations	Service notification			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	Operations Director	Yes
Operations	Service notification			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	Operations Director	Yes

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Operations	Service notification			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)	Operations Director	Yes
Operations	Service notification			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	Operations Director	No
Operations	Service notification			Notification from a care service to the Care Inspectorate	Notification of unfitness	Date of notification	5 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 8	Operations Director	Yes
Operations	Service notification			Notification from a care service to the Care Inspectorate	Appointment of a manager	Date of notification	5 years	Destroy	Business Requirement	Regulation of Care (Requirements as to Care Services) (Scotland) Regulations SSI 2002 No 114. Regulation 17	Operations Director	Yes

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Operations	Service registration			Application by BTHA to register a care service under s33(1)c Regulation of Care (Scotland) Act 2001	A statement that BTHA 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 BTHA 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)	Operations Director	Yes
Operations	Service registration			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	Operations Director	No
Operations	Service registration			Records relating to the registration of individual accommodation support services to regulators	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.	Operations Director	Yes
Property Management	Acquisition and Disposal			Records documenting negotiation and acquisition/disposal of a property through purchase, transfer, donation or lease	surveys, valuations, correspondence	Disposal of property	Assets under £50,000: 5 years Assets over £50,000: 20 years	Destroy	Business requirement	Prescription and Limitation (Scotland) Act 1973 c. 52 ss 7 and 8	Property Manager	No
Property Management	Acquisition and Disposal			Title deeds		Disposal of property	Nil	Transfer to new owner	Business requirement		Property Manager	No
Property Management	Property Compliance	Gas Safety		Gas Safety certificates		Date of check	2 years	Destroy	Business requirement	Gas Safety (Installation and Use) (Amendment) Regulations 1998 SI 1998 No 2451 Part F 36 (3)(c). Refers to landlords' responsibilities; see also Governance/Quality and Performance	Property Manager	No

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Property Management	Facilities Maintenance	Routine maintenance		Records documenting the carrying out of routine maintenance (including cleaning) and repairs to fixtures, fittings and interior decoration.		End of current year	2 years	Destroy	Business requirement		Property Manager	No
Property Management	Fleet management	Allocation and maintenance		Allocation and maintenance records		Disposal of the vehicle	7 years	Destroy	Business requirement		Property Manager	No
Property Management	Fleet management	Usage		Recording drivers usage		Date closed/returned to employer	1 year	Destroy	Statutory	Transport Act 1968 1968 Chapter 73 Sections 96, 98, 99, 103. Drivers' Hours (Goods Vehicles) (Keeping of Records) Regulations 1987. SI 1987 No.1421 Regulation 11 Preservation of driver's record books.	Property Manager	Yes
Property Management	Fleet management	Usage		Recording vehicle usage		Disposal of the vehicle	3 years	Destroy	Business requirement		Property Manager	No
Property Management	Fleet management	Acquisition and disposal		Vehicle records, lease or purchase		Disposal of the vehicle	7 years	Destroy	Business requirement		Property Manager	No
Property Management	Property Development			Design and construction projects	Project Files – includes feasibility studies, brief, correspondence, minutes of site meetings, variation orders, drawings, photographs, records of payment, tendering of works, contract documentation	Completion of project (end of defects liability period and completion of all outstanding payments)	Assets under £50,000: 5 years Assets over £50,000: 20 years	Destroy (transfer property records required for on-going management of the property to property file)	Business requirement		Property Manager	No
Property Management	Property Maintenance	Property core records management		Core property records	Site plans, as-built and detailed plans and drawings, plans and records for engineering works, building surveys, health and safety file, planning and building certification	Disposal or demolition of property	Nil (need to check if there is anything you need to retain after property transfer to new owner)	Transfer to new owner	Business requirement	Transfer records to new owners when property is sold.	Property Manager	No

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Property Management	Property Maintenance	Routine inspection		Records documenting routine inspections of property.	Property Condition Surveys	Date of inspection	5 years	Destroy	Business requirement	Retaining inspection records provides evidence of effective property management.	Property Manager	no
Property Management	Property Maintenance	Major maintenance		Major maintenance works and repairs		Disposal of property	Nil	Transfer	Business requirement	Transfer records to new owners when property is sold.	Property Manager	no
Property Management	Property Maintenance	Routine maintenance		Routine maintenance and minor repairs		End of current year	Assets under £50,000: 5 years Assets over £50,000: 20 years	Destroy	Business requirement		Property Manager	no
Property Management	Security	Surveillance		CCTV footage		Footage date	28 days	Destroy	Statutory	Data Protection legislation	Property Manager	Yes
Property Management	Security	Access		Records documenting property access controls to secure areas (e.g. access registers, key registers, security data logs).	Access registers, key registers	Superseded	2 years	Destroy	Statutory	Data Protection legislation	Property Manager	Yes
Property Management	Security	Access		Register of security passes issued to staff		Expiry of pass	1 year	Destroy	Statutory	Data Protection legislation	Property Manager	Yes
Property Management	Security	Access		Register of security passes issued to visitors		Expiry of pass	1 month	Destroy	Statutory	Data Protection legislation	Property Manager	Yes
Property Management	Security	Incident Management		Records documenting the investigation of a security incident in a property, and action taken.		Last action on incident	1 year	Destroy	Business requirement		Property Manager	Yes
Property Management	Stores and equipment	Disposal		Records documenting cleansing, sanitisation and authorisation for the disposal of equipment/consumables, and the evaluation of alternative methods of disposal.		Disposal of item	5 years	Destroy	Business requirement		Property Manager Digital Transformation Manager	No

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Property Management	Stores and equipment	Stock control		stock taking records, condition monitoring, movement to and from storage		end of current year	3 years	Destroy	Business requirement	Subject to specific requirements for particular categories of items	Property Manager	No