



Records disposal schedule

Information Directorate

Contact Centre

Last updated: 12 November 2009

For alternative formats, email contactcentre@sra.org.uk or telephone 0870 606 2555.

Contents

Scope3
Disposal of records3
The schedule4

Scope

This version of the schedule covers the records (paper and electronic) generated, received and managed by the Information Directorate's Contact Centre. The schedule does not apply to data entered into REGIS, RESPOND or SIEBEL by the unit; this data will be covered by separate schedules.

To dispose of administrative records generated by the unit (electronic and paper), staff should refer to the [general records disposal schedule: records documenting functions and activities common to most business units](#). This schedule recommends retention periods for the administrative records which business units create or use in the course of their business.

To implement disposal rules for records managed by the unit (paper or electronic) which are not covered by the above schedules, the directorate's [records officer](#) should be contacted. S/he will liaise with the SRA [records manager](#) for the production of an updated version of the schedule to include those records.

Disposal of records

There are only two ways to dispose of records:

1. Destroy them *or*
2. Keep them permanently

Records of permanent value should be as a rule transferred to the corporate archives. This is currently located in the Law Society's Library at Chancery Lane.

Hard copy (paper) records which have to be kept for a period of time before destruction (e.g. longer than 1-3 months after closure) should be transferred to the Midlands archive store.

The provisions of this schedule have been formally approved by Tina Till, Head of the Contact Centre.

Signed Approved via e-mail

Date: 24 February 2009

The schedule

Information Directorate – Contact Centre (last updated 16 February 2009) version 1.0 records covering the handling of enquiries from the profession, members of the public and lending institutions							
Contents list:							
1. Managing enquiries or complaints about the SRA's regulatory role and related procedures							
2. Managing the registration process							
Disposal class number	Function	Activity	Record type/ sub-type	Medium/format/ storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
1.	Managing enquiries or complaints about the SRA's regulatory role and related procedures						

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1.1		Managing enquiries or complaints relating to management of regulatory data e.g.: accountants reports, admission ceremonies, admission to the Roll, annual renewals, practice changes, practice rules, courses, student enrolment, professional accreditation, regulatory, requirements/ compliance,, validating solicitors/ practices					
1.1.1			Telephone enquiries or complaints Firm regulation	Recorded to tape Occasionally notes made against CI in RegIS	Destroy recorded call one month after event by recording over tape	Personal data must be destroyed when no longer needed to conform to the Data Protection Act 1998	Ensure that unused tapes are blanked

1.1.2			Quality monitoring form	Hard copy	Destroy 13 months after creation	To allow for performance management	
1.1.3			<p>Subject access requests for recordings under Data Protection Act:</p> <ul style="list-style-type: none"> • Written request (all formats); • Response (all formats, including CD of recording) 	Hard copy or electronic	<p>Destroy all formats 3 months after date of last action</p> <p>Where documentation is added to local records e.g. to case files, refer to specific records disposal schedule for the unit</p>	<p>To allow for appeals</p> <p>General records disposal schedule s.7</p>	Official record held by TLS Information Compliance
1.1.5			<p>Written enquiries or complaints:</p> <ul style="list-style-type: none"> • Correspondence • Referral internally or externally to another regulatory body or third party e.g. Guidance team, LCS 	<p>Hard copy letters and responses (stored in RESPOND) e-mails and responses (stored in SIEBEL)</p> <p>From Sept 2007 stored in Outlook</p>	<p>Destroy hard copy and e-mails 6 months after completion</p> <p>Disposal schedules required for RESPOND and SIEBEL data</p>		<p>SIEBEL decommissioned; data disposal not yet agreed</p> <p>Separate schedule in preparation for RESPOND data</p>

1.2		Managing historical regulatory documentation in order to respond to requests for information by or about law firms or solicitors					
1.2.1			<ul style="list-style-type: none"> • Deceased records 1800-1982 • Firm history books 1800s-1900s • Law lists • National Service Book 1939 • Prisoner of War book 1940-1949 • Striking off lists 1889-1980s 	Hard copy	Retain permanently – historical value		Location and management of material of historical value still not determined
1.2.2			Law Society final examination results and solicitors part 1 and 2 pass lists 1960s-1992	Hard copy and microfilm	Offer to IALS Records of Legal Education Archives once records reach 100 years old		Earlier examination results books have been donated to IALS Records of Legal Education Archives

1.2.3			Index to firms	Card index to firm history books on excel spreadsheets for more recently defunct firms (group folder)	Retain permanently – historical value		Location and management of material of historical value still not determined
1.2.4			Historical enquiries about law firms or solicitors or requests by solicitors for copies of examination results	Hard copy or email	Destroy hard copies & emails 6 months after completion		
1.3		Promoting accessibility of legal services					

1.3.1			Advice linking consumers to solicitors/firms	Hard copy letters and responses (stored in RESPOND) e-mails and responses (stored in SIEBEL) From Sept 2007 e-mails stored in Outlook	Destroy 6 months after action completed. Disposal schedules required for RESPOND and SIEBEL data		SIEBEL decommissioned; data disposal not yet agreed
1.3.2			Telephone enquiries	Recorded to tape	Destroy recorded call one month after event by recording over tape	Personal data must be destroyed when no longer needed to conform to the Data Protection Act 1998	Ensure that unused tapes are blanked
1.3.3			Quality monitoring form	Hard copy	Destroy 13 months after creation	To allow for performance management	
2.	Managing the registration process						

2.1		Managing applications for certificates of good standing or attestation					
2.1.1			<p>Applications:</p> <ul style="list-style-type: none"> • Request • Fees data • Correspondence • Certificate 	<p>Hard copy</p> <p>E-documents stored in SIEBEL and Outlook mailboxes</p> <p>Fees data sent to Finance</p>	<p>Destroy hard copy and e-mails 6 months after action completed</p> <p>Disposal schedule required for SIEBEL data</p>	<p>Applications only valid for 3 months</p>	<p>SIEBEL decommissioned; data disposal not yet agreed</p> <p>Finance will retain financial data for required period (6 years)</p>