



Records disposal schedule

Records of the SRA Board, its corporate committees and sub-committees

Last updated: 23 March 2009

Contents

Purpose3
Scope3
Disposal of records3
The schedule4

Purpose

The records disposal schedule which follows will form part of a set of procedures setting out minimum standards for records management in the Solicitors Regulation Authority (SRA). They will provide evidence of compliance with legislation such as the [Data Protection Act 1998](#), our Freedom of Information [Code of Practice](#) and eventually the [Freedom of Information Act 2000](#), as well as adherence to best practice standards.

The schedule will assist the SRA to:

- Reduce multiple sets of identical records and data.
- Remove obsolete or inaccurate information.
- Improve business processes.
- Meet legislative compliance standards in record keeping.
- Create corporate rules for records disposal as part of new system implementation.

Scope

This version of the schedule covers the records (paper and electronic) of the SRA Board, its corporate committees and sub-committees. The schedule supersedes (for the SRA only) an earlier schedule (December 2005) covering the disposal of Law Society committee papers.

To dispose of administrative records (electronic and paper), committee secretaries 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 the records of SRA committees, panels and working parties (paper or electronic) which are not covered by the above schedules, the records manager should be contacted. She will liaise with the relevant business units or committee secretaries for the production of a 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 3 months after closure) should be transferred to the Midlands archive store.

The provisions of this schedule have been formally approved by Antony Townsend, SRA Chief Executive Officer.

Signed...approved via e-mail notification.....

Date...30 March 2009...

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

The schedule

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees							
Contents list:							
1. SRA Board and policy making committees management							
2. Operational or caseworking committees management							
3. Historic/defunct Regulation Directorate boards and committees management							
4. Supporting documentation for meetings							
Disposal class number	Function	Activity	Record type/ sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
1.	SRA Board and policy making committee management						
1.1		Recording deliberations of SRA Board and its policy making committees: 1. Compliance Committee 2. Education & Training Committee 3. Financial Protection Committee 4. Rules and Ethics Committee 5. Scrutiny Committee (SRA) 6. SRA Board E&D Group		SRA Board serviced by Head of Board Business 1. Serviced by Head of Board Business 2. Serviced by Head of Education and Training Policy 3. Serviced by Head of Indemnity Insurance & CP Policy 4. Serviced by Head of Professional Ethics 5. Serviced by Head of Board Business 6. Serviced by Policy (Inclusion)			

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
1.1.1			Approved agenda, minutes and papers: <ul style="list-style-type: none"> • Hard copy stored by relevant business unit • Electronic stored in business unit group folder • Part I minutes stored on Insight and TLS website 		Master sets (including approved minutes) to be transferred to Corporate Archives in Chancery Lane for permanent retention as soon as practicable Local copies (all formats) to be destroyed when reference ceases Disposal of Insight and website material managed by TLS web publishing team	Law Society General Regulations: Regulation 57 (applies until 2008); Corporate Archive Policy version 2.0 General records disposal schedule s.2	Creation of a digital archive to store SRA records of permanent value in electronic format should be investigated

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/ sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
1.1.2			Agenda, minutes and papers: unapproved versions and drafts (electronic: group folders)		Destroy once approved version published	General records disposal schedule s.2	
2.	Operational and caseworking committees management						

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/ sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
2.1		Recording deliberations of operational or caseworking sub-committees of the Board: 1. Joint Academic Stage Board 2. Higher Courts Qualifications Appeals Casework Committee 3. Higher Courts Qualifications Casework Committee 4. High Profile Litigation Group (SRA) 5. Quality Assurance Sub-Committee 6. Panel of Adjudicators Sub Committee		1. Serviced by Education and Training Policy 2. Serviced by Education and Training Policy 3. Serviced by Education and Training Policy 4. Serviced by Head of the Legal Directorate 5. Serviced by Education and Training Policy 6. Serviced by Board Business			

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
2.1.1			Agenda, minutes and papers: <ul style="list-style-type: none"> • Hard copy stored by relevant business unit • Electronic stored in business unit group folder • Panel of Adjudicators Sub Committee agenda papers on CD ROM 		Review 5 years after action completed to determine on-going business need; if retained review at further intervals of 2 years, other than Panel of Adjudicators Sub Committee papers: <ul style="list-style-type: none"> • Hard copy: destroy once stored on CD ROM • CD ROM: destroy after 2 years 		

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/ sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
2.1.2			Agenda, minutes and papers: unapproved versions and drafts (electronic: group folders)		Destroy once approved version agreed	General records disposal schedule s.2	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
2.2		Recording deliberations of defunct operational or caseworking sub-committees of the Board: 1. Adjudication Panel 2. Bursary Sub-Committee 3. Diploma in Local Government Law & Practice Board 4. Indemnity Insurance Committee 5. Post Qualification Review Group 6. QLTR - QLTT Review Group 7. Professional Standards Appeals Panel 8. Statutory Trust Sub Committee		1. Was serviced by Board Business 2. Was serviced by Education and Training Policy 3. Was serviced by Education and Training Policy until transferred to Representative body 4. Was serviced by Indemnity Insurance & CP Policy 5. Was serviced by Education and Training Policy 6. Was serviced by Education and Training Policy 7. Professional Was serviced by Policy Ethics 8. Was serviced by the Legal Directorate			

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
2.2.1			Agenda, minutes and papers: <ul style="list-style-type: none"> • Hard copy stored by relevant business unit • Electronic stored in business unit group folder • Adjudication Panel agenda papers stored on CD ROM 		Review 5 years after action completed to determine on-going business need; if retained review at further intervals of 2 years other than Adjudication Panel papers on CD ROM which may be destroyed after 2 years		
2.2.2			Agenda, minutes and papers: unapproved versions, drafts (electronic: group folders)		Destroy once approved version agreed	General records disposal schedule s.2	

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/ sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
3.	Historic/ defunct Regulation Directorate boards and committees management						
3.1		Managing the records of predecessor Boards to the SRA Board: <ul style="list-style-type: none"> • Compliance Board • Standards Board 		Predecessor Boards were serviced by Board Business			

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
3.1.1			Approved agenda, minutes and papers		Master sets (including approved minutes) to be passed to Head of Board Business to co-ordinate transfer to Corporate Archives in Chancery Lane for permanent retention Any local copies (all formats) to be destroyed	Law Society General Regulations: Regulation 57 (applies until 2008); Corporate Archive Policy version 2.0 General records disposal schedule s.2	Some hard copy in Midlands archive store
3.1.2			Agenda, minutes and papers: spare copies, unapproved versions, drafts		Destroy all formats following exercise to transfer hard copy to Corporate Archives	General records disposal schedule s.2	Some hard copy may be in Midlands archive store; may be needed to fill gaps in holdings

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/ sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
3.2		Managing the records of predecessor committees to the Compliance Board: <ul style="list-style-type: none"> • Adjudication & Appeals Committee • Compliance & Supervision Committee • Ethics and Guidance Committee • Standards and Guidance Committee 		Predecessor committees were serviced by Board Business			

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
3.2.1			Approved agenda, minutes and papers		Head of Board Business to transfer minutes, agenda and papers to the Corporate Archives in Chancery Lane for permanent retention following weeding exercise*	Law Society General Regulations: Regulation 57 (applies until 2008)	Some hard copy in Midlands archive store *Papers contain a mix of caseworking and policy material. A weeding exercise to remove policy material for transfer to corporate Archives to be timetabled
3.2.2			Agenda, minutes and papers: electronic copies, unapproved versions, drafts		Destroy following exercise to transfer hard copy to Corporate Archives		Some hard copy may be in Midlands archive store; may be needed to fill gaps in holdings

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
3.3		Managing the records of defunct operational and caseworking sub-committees of the Compliance and Standards Board e.g. <ul style="list-style-type: none"> • Adjudication Committee • Professional Regulation Casework Committee 		Defunct sub-committees were serviced by Board Business			It is probable that further sub-committees will be identified
3.3.1			Agenda, minutes and papers		Review now to determine on-going business need; if retained review at further intervals of 2 years		Some hard copy may be in Midlands archive store Need to allocate responsibility for review

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/ sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
3.3.2			Agenda, minutes and papers: electronic copies, unapproved versions, drafts		Destroy once approved version agreed	General records disposal schedule s.2	
4.	Supporting documentation for meetings						
4.1		Managing documentation for meetings		For administrative responsibility see individual committee entries above			
4.1.1			Supporting correspondence (hard copy or electronic)		Destroy all formats 5 years after action completed		

Destruction of records should be suspended if it becomes apparent that there is any possibility of anticipated litigation or regulatory investigation. Deliberate destruction of relevant records in such cases could involve the criminal offence of obstructing or perverting the course of justice. A court is also likely to draw adverse inferences from such an exercise and it is unlikely that a court would be satisfied with any explanation for deliberate record destruction after the commencement of proceedings

SRA Board and its corporate committees (last updated 23 March 2009) version 2.0 records covering the provision of secretarial support for the SRA Board, its corporate committees and sub-committees

Contents list:

1. SRA Board and policy making committees management
2. Operational or caseworking committees management
3. Historic/defunct Regulation Directorate boards and committees management
4. Supporting documentation for meetings

Disposal class number	Function	Activity	Record type/ sub-type and format	Administrative responsibility	Recommended disposal	Statutory requirement or best practice	Notes
4.1.2			Lists and contact details of committee members (electronic)		Destroy all formats as superseded	Personal data e.g. individuals' contact details must be stored securely and destroyed once superseded to conform with the Data Protection Act 1998	
4.1.3			Corporate meetings diary (hard copy or electronic)		Destroy all formats 1 year after action completed		
4.1.4			Notices of meetings (hard copy or electronic)		Destroy all formats 1 year after action completed		