

Records disposal schedule

Education and Training Unit, Regulation Standards, Regulation Directorate

Education and Training Unit

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Purpose

The records disposal schedule which follows will form part of a set of procedures to meet the need for a readily available source of information about record-keeping practices within the Law Society. As such it will provide evidence of good practice in relation to data protection and compliance with the Freedom of Information Code of Practice and will also support compliance with other legislation.

Scope

It is intended that the schedule will assist in meeting the Law Society's demands for the following:

- the reduction of multiple sets of identical records and data
- the removal of obsolete or inaccurate information
- the improvement of work flows within the Law Society
- the requirement to meet legislative compliance standards in record-keeping.

The disposal provisions of this schedule apply equally to records and documents in electronic and paper format.

It is envisaged that this will be the first version of the schedule, which is at present a partial one. It has been prepared to meet the immediate demand for disposal guidance for records relating to accreditation schemes and panels. It will be expanded, as time allows, to include all records and data created and maintained by the Education and Training Unit, irrespective of medium and format. It will necessarily be a dynamic document that will need to be updated according to changes in legislation and new practices within the Law Society.

The schedule sets out disposal provisions for each category of record as follows: activity/area of work, description of record, format, disposal instruction and the relevant legislative authority, appeals process or best practice process.

The disposal provisions take into account legislative retention requirements, administrative need, possible reference requirements by staff and potential long-term research and/or legal or evidential value.

Disposal categories

Records listed in a disposal schedule will always fall into one of the following disposal groups:

- Records and documents (whether paper or electronic) which may be deleted/destroyed by staff once reference ceases or for which the statutory limitation period has passed.
- Records which have been, or will be, archived off-line or transferred to intermediate storage pending scheduled deletion/destruction.
- Records which should be transferred for permanent retention within the Law Society's Corporate Historical Archives.

Disposal procedures

- Electronic records and other records in non-paper format should be sentenced for disposal in exactly the same way as paper records, unless specific procedures to the contrary are outlined in the schedule.
- Physical destruction of paper records within business units should be carried out as follows:
- Non-confidential records may be destroyed in the most convenient way.
- Confidential records must be shredded.

Definitions

Records	Recorded information, in any form, including data in computer systems, created or received and maintained by an organisation or person in the transaction of business or the conduct of affairs and kept as evidence of such activity
Documents	Individual items which together make up a file. Documents may be created in a variety of formats (forms, letters, email, invoices etc)
File	One or a sequence of documents held as a discrete group documenting an activity or a series of activities. (e.g. a case file)
Folder	A collection of files relating to a particular function (e.g. a series of case files)
Records disposal	The process whereby records are either destroyed at a specified date or retained permanently

Requests for amendments/additions to the schedule should be forwarded via the Information Officer, [Lesley Hewitt](#), to the Records Manager, [Clare Cowling](#). The schedule will be reviewed annually.

The provisions of this schedule have been formally approved by the Head of Education and Training Unit, [Julie Swan](#).

Name: Date:

Signed:

(Head of Education and Training Unit)

Disposal schedule

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1. Accreditation schemes							
1.1 Children Panel							
1.1.1 <i>Application for any form of membership or re-accreditation</i>							
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category from 1984 – November 2005 can be destroyed
		Successful including applications for conversion or transfers	Hard copy	Transfer to records store 6 months after closure	Destroy 5 years after transfer to records store	Children Panel membership usually lasts five years	Files in this category from 1984 – November 2000 can be destroyed if applicant has not been reaccruited
1.1.2		Adjudicator agendas relating to accreditation scheme applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.1.3		Adjudicator minutes relating to accreditation scheme applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file
1.1.4		Adjudicator papers relating to accreditation scheme applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file
1.1.5		Appeals relating to applicants who have been refused membership or re-accreditation or who have had their membership suspended or revoked	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.1.6		Assessor's reporting sheets relating to accreditation scheme applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after assessment	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.1.7		Attendance notes relating to accreditation scheme applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file
1.1.8		Approved assessment materials/courses	Hard copy	Transfer to records store 6 months after approval	Review 3 years after transfer to records store	Allows for period of authorisation and for revalidation and allows for any appeal against revalidation decision	Files in this category from 1984 – November 2002 can be destroyed if they have not been re-validated
1.2	Civil & Commercial Mediation Panel						
1.2.1	<i>Application for membership or re-accreditation</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category from February 2002 – November 2005 can be destroyed

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
		Successful application for general membership	Hard copy	Transfer to records store 6 months after closure	Destroy 2 years after transfer to records store	General membership usually lasts 2 years	Files from April 2002 – November 2003 can be destroyed if not proceeded to initial practitioner membership
		Successful application for initial practitioner membership	Hard copy	Transfer to records store 6 months after closure	Destroy 3 years after transfer to records store	Initial practitioner membership usually lasts 3 years	Files dated up to November 2002 can be destroyed if applicant did not go on to become a practitioner member
		Successful application for practitioner membership	Hard copy	Transfer to records store 6 months after closure	Destroy 5 years after transfer to records store	Practitioner membership usually lasts 5 years	
		Successful re-accreditation application for practitioner membership	Hard copy	Transfer to records store 6 months after closure	Destroy 5 years after transfer to records store	Practitioner membership usually lasts 5 years	Only one practitioner member at present who gained this status November 2003

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.2.2		Adjudicator agendas relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		
1.2.3		Adjudicator minutes relating to membership or re-accreditation scheme applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file
1.2.4		Adjudicator papers relating to membership or re-accreditation scheme applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file
1.2.5		Appeals relating to applicants who have been refused membership or re-accreditation or who have had their membership suspended or revoked	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
		Assessor's reporting sheets relating to membership or re-accreditation applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after assessment	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.2.7		Attendance notes relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file
1.2.8		Approved assessment materials/courses	Hard copy	Transfer to records store 6 months after approval	Review 3 years after transfer to records store	Allows for period of authorisation and for revalidation and allows for any appeal against revalidation decision	Files in this category pre November 2002 can be destroyed if they have not been revalidated
1.3	Clinical Negligence Panel						
1.3.1	<i>Application for membership or re-accreditation or re-selection</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category from March 1995 – November 2005 can be destroyed

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
		Successful	Hard copy	Transfer to records store 6 months after closure	Destroy 5 years after transfer to records store	Clinical Negligence Panel membership usually lasts for 5 years	Files in this category from 1995 – November 2000 can be destroyed
1.3.2		Adjudicator agendas relating to membership or re-accreditation or re-selection applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/ delete 1 year after creation		
1.3.3		Adjudicator minutes relating to membership or re-accreditation or re-selection applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/ delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file
1.3.4		Adjudicator papers relating to membership or re-accreditation or re-selection applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/ delete 1 year after creation		One hard copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.3.5		Appeals relating to applicants who have been refused membership or re-accreditation or re-selection or who have had their membership suspended or revoked	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.3.6		Assessor's reporting sheets relating to membership or re-accreditation or re-selection applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after assessment	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.3.7		Attendance notes relating to membership or re-accreditation or re-selection applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.4	Criminal Litigation Accreditation Scheme						
1.4.1	<i>Application for membership or re-accreditation</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category from March 2001 – November 2005 can be destroyed
		Successful	Hard copy	Transfer to records store 6 months after closure	Destroy 5 years after transfer to records store	Criminal Litigation Accreditation Scheme Stage 1 membership usually lasts for 5 years	
1.4.2	<i>Police station qualification: applications</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category from March 2001 – November 2005 can be destroyed

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
		Successful	Hard copy	Hold in ETU for 6 months after termination in case of any dispute arising Transfer to records store 6 months after termination	Destroy 3 years after transfer to records store	Police station qualification usually lasts for three years	
1.4.3	<i>Magistrates' court qualification: applications</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category from March 2001 – November 2005 can be destroyed
		Successful	Hard copy	Transfer to records store 6 months after termination	Destroy 3 years after transfer to records store	Magistrates' Court qualification usually lasts for 3 years	
1.4.4		Adjudicator agendas relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.4.5		Adjudicator minutes relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file
1.4.6		Adjudicator papers relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file
1.4.7		Appeals relating to applicants who have been refused membership or re-accreditation or who have had their membership suspended or revoked	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.4.8		Assessor's reporting sheets relating to membership or re-accreditation applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after assessment	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.4.9		Attendance notes relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file
1.4.10		Approved assessment materials/courses	Hard copy	Transfer to records store 6 months after approval	Review 3 years after transfer to records store	Allows for period of authorisation and for revalidation and allows for any appeal against revalidation decision	Files in this category from 2001 – November 2002 can be destroyed if they have not been revalidated
1.5	Family Law Advanced Panel						
1.5.1	<i>Applications for membership or re-accreditation or re-selection</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category from February 2002 – November 2005 can be destroyed

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
		Successful	Hard copy	Transfer to records store 6 months after termination	Destroy 5 years after transfer to records store	Family Law advanced membership usually lasts for five years	
1.5.2		Adjudicator agendas relating to membership or re-accreditation or re-selection applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		
1.5.3		Adjudicator minutes relating to membership or re-accreditation or re-selection applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file
1.5.4		Adjudicator papers relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.5.5		Appeals relating to applicants who have been refused membership or re-accreditation or who have had their membership suspended or revoked	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.5.6		Assessor's reporting sheets relating to membership or re-accreditation applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after assessment	To account for any appeal/ dispute	One copy on applicant's file for duration of retention of file
1.5.7		Attendance notes relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file
1.5.8		Examination scripts	Hard copy	Transfer to records store after moderator's meeting	Destroy 1 year after transfer to records store	No appeal process in relation to examinations	Scripts dated up to April 2005 can be destroyed

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.5.9		Examiners' notes	Hard copy	Transfer to records store after moderator's meeting	Destroy 1 year after transfer to records store	No appeal process in relation to examinations	Should be held separately from examination scripts
1.5.10		List of examination marks	Excel spreadsheet		Delete 1 year after creation		
1.5.11		Family Law Advanced Examination Board papers / agendas / minutes / examination papers etc	Hard copy and electronic format	Hold in ETU pending transfer to Archives	Transfer master set to Corporate Historical Archives for permanent retention after 1 year Delete electronic copies after 1 year	Held in ETU for 1 year to ensure the same/similar examination questions are not repeated the next year	First round of examinations were held in 2002

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.6	Family Law Panel						
1.6.1	<i>Applications for membership or re-accreditation</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category from September 1998 – November 2005 can be destroyed
		Successful	Hard copy	Transfer to records store 6 months after termination	Destroy 5 years after transfer to records store	Family Law Panel membership usually lasts 5 years	Files in this category can be destroyed from August 1998 – November 2000
1.6.2		Adjudicator agendas relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.6.3		Adjudicator minutes relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file
1.6.4		Adjudicator papers relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file
1.6.5		Appeals relating to applicants who have been refused membership or re-accreditation or who have had their membership suspended or revoked	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.6.6		Assessor's reporting sheets relating to membership or re-accreditation applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after assessment	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.6.7		Attendance notes relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file
1.7	Family Mediation Panel						
1.7.1	<i>Applications for membership or re-accreditation</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category from August 2001 – November 2005 can be destroyed
		Successful application for general membership	Hard copy	Transfer to records store 6 months after termination	Destroy 2 years after transfer to records store		Files in this category up to November 2003 can be destroyed
		Successful application for initial practitioner membership	Hard copy	Transfer to records store 6 months after termination	Destroy 2 years after transfer to records store		Files in this category up to November 2003 can be destroyed

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
		Successful application for practitioner membership	Hard copy	Transfer to records store 6 months after termination	Destroy 2 years after transfer to records store		Files in this category up to November 2003 can be destroyed
		Successful application for practitioner membership re-accreditation	Hard copy	Transfer to records store 6 months after termination	Destroy 5 years after transfer to records store		Files in this category not due to be destroyed until at least 2010
1.7.2		Adjudicator agendas relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		
1.7.3		Adjudicator minutes relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.7.4		Adjudicator papers relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file
1.7.5		Appeals relating to applicants who have been refused membership or re-accreditation or who have had their membership suspended or revoked	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.7.6		Assessor's reporting sheets relating to membership or re-accreditation applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after assessment	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.7.7		Attendance notes relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.7.8		Approved assessment materials/courses	Hard copy	Transfer to records store 6 months after approval	Review 3 years after transfer to records store	Allows for period of authorisation and for revalidation and allows for any appeal against revalidation decision	Files in this category up to November 2002 can be destroyed if they have not been re-validated
1.8	Higher courts rights of audience						
1.8.1	Applications						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category from February 1994 – November 2005 can be deleted
		Successful	Hard copy	Transfer to records store 6 months after approval meeting in case of appeal/dispute as to competence	Destroy 5 years after transfer		Pending Law Society agreement on admissions policy
1.8.2		Adjudicator agendas relating to applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.8.3		Adjudicator minutes relating to applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file
1.8.4		Adjudicator papers relating to applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file
1.8.5		Appeals relating to unsuccessful applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.8.6		Assessor's reporting sheets relating to membership or re-accreditation applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after assessment	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.8.7		Attendance notes relating to applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.8.8		Approved assessment materials/courses	Hard copy	Transfer to records store 6 months after approval	Review 3 years after transfer to records store	Allows for period of authorisation and for revalidation and allows for any appeal against revalidation decision	Files in this category from February 1994 – November 2002 can be destroyed if they have not been revalidated
1.8.9		Higher Courts Qualification Casework Committee: agenda, minutes and papers	Hard and electronic copies	Hold in ETU pending transfer to Archives	Transfer master set to Corporate Historical Archives for permanent retention after 1 year Delete electronic copies after 3 years	3 year retention in ETU allows for potential judicial review and if questioned why awarded	After three years applicant should have enough experience not to be asked this question

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.8.10		Higher Courts Qualification Appeals Casework Committee: agenda, minutes and papers	Hard and electronic copies	Hold in ETU pending transfer to Archives	Transfer master set to Corporate Historical Archives for permanent retention after 1 year Delete electronic copies after 3 years	3 year retention in ETU allows for potential judicial review and if questioned why awarded	After three years solicitor advocate should have enough experience not to be asked this question
1.9	Immigration & Asylum Accreditation Register						
1.9.1	<i>Applications for Immigration and Asylum Register</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Scheme started 01 April 2004 Files in this category from April 2004 – November 2005 can be destroyed
		Successful	Hard copy	Transfer to records store 6 months after termination	Destroy 3 years after transfer to records store		Scheme started 01 April 2004

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.9.2		Adjudicator agendas relating to applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		
1.9.3		Adjudicator minutes relating to applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file
1.9.4		Adjudicator papers relating to applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file
1.9.5		Appeals relating to unsuccessful applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.9.6		Assessor's reporting sheets applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after assessment	To account for any appeal/dispute	One hard copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.9.7		Attendance notes relating to applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file
1.10	Immigration & Asylum Accreditation Scheme						
1.10.1	<i>Applications for Level 3 / Advanced Caseworker membership</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	
		Successful applications for level 3 / advanced caseworker membership	Hard copy	Transfer to records store 6 months after termination	Destroy 3 years after transfer to records store		
1.10.2		Adjudicator agendas relating to applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.10.3		Adjudicator minutes relating to applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file
1.10.4		Adjudicator minutes relating to applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file
1.10.5		Adjudicator papers relating to applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file
1.10.6		Appeals relating to unsuccessful applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.10.7		Attendance notes relating to applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file
1.10.8		Approved assessment materials/courses	Hard copy	Transfer to records store 6 months after approval	Review 3 years after transfer to records store	Allows for period of authorisation and for revalidation and allows for any appeal against revalidation decision	
1.11	Immigration Law Panel (closed)						
1.11.1	<i>Applications for membership or re-accreditation</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Panel closed for applications 31 March 2004 – all files can now be destroyed

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
		Successful applications for membership	Hard copy	Transfer to records store 6 months after termination	Destroy 3 years after transfer to records store		Panel closed for applications 31 March 2004 All files in this category can now be destroyed
		Successful applications for re-accreditation	Hard copy	Transfer to records store 6 months after termination	Destroy 3 years after transfer to records store		Panel closed for applications 31 March 2004 All files in this category can now be destroyed
1.11.2		Adjudicator agendas relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		
1.11.3		Adjudicator minutes relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.11.4		Adjudicator papers relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file
1.11.5		Appeals relating to applicants who have been refused membership or re-accreditation or who have had their membership suspended or revoked	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.11.6		Assessor's reporting sheets relating to membership or re-accreditation applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after assessment	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.11.7		Attendance notes relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.12	Authorisation of Insolvency Practitioners						The DTI may be producing a statutory instrument on document retention relating to insolvency issues. The below will be subject to the terms of any such statutory instrument
1.12.1	<i>Applications for authorisation or re-authorisation</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category up to November 2005 can now be destroyed

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
		Successful	Hard copy	Transfer to records store 6 months after termination	Destroy 9 years after transfer to records store	Authorisation usually lasts three years	Files in this category from December 1986 –1996 can be destroyed Statutory controlled scheme subject to monitoring on 3–5 year cycle
1.12.2		Adjudicator agendas relating to authorisation or re-authorisation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		
1.12.3		Adjudicator minutes relating to authorisation or re-authorisation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.12.4		Adjudicator papers relating to authorisation or re-authorisation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file
1.12.5		Appeals relating to applicants who have been refused authorisation or re-authorisation or who have had their membership suspended or revoked	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.12.6		Assessor's reporting sheets relating to authorisation or re-authorisation applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after assessment	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.12.7		Attendance notes relating to authorisation or re-authorisation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.12.8		Bordereaux and enabling bonds	Hard copy	Transfer to records store after 12 months	Destroy 20 years after transfer to records store	May need to produce records when monitored by the Insolvency Service or if any dispute arises	Records Manager to investigate cost benefit of microfilming
1.12.9		Monitoring reports	Hard copy	Transfer to records store 6 months after termination	Destroy 9 years after transfer to records store	Covers the authorisation period	Monitoring reports in this category up to October 1996 can be destroyed provided they have had another monitoring visit if required
1.13	Mental Health Review Tribunal Panel						
1.13.1	<i>Applications for membership or re-accreditation</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category from Mar 1998 – November 2005 can be destroyed

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
		Successful	Hard copy	Transfer to records store 6 months after termination	Destroy 3 years after transfer to records store		Files in this category up until November 2002 can be destroyed if the applicant has not been reaccredited
1.13.2		Adjudicator agendas relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		
1.13.3		Adjudicator minutes relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file
1.13.4		Adjudicator papers relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.13.5		Appeals relating to applicants who have been refused membership or re-accreditation or who have had their membership suspended or revoked	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.13.6		Assessor's reporting sheets relating to membership or re-accreditation applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after assessment	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.13.7		Attendance notes relating to membership or re-accreditation applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file
1.13.8		Approved assessment materials/courses	Hard copy	Transfer to records store 6 months after approval	Review 3 years after transfer to records store	Allows for period of authorisation and for revalidation and allows for any appeal against revalidation decision	Files in this category from 1998 – November 2002 can be destroyed if they have not been revalidated

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.14	Personal Injury Panel						
1.14.1	<i>Applications for membership or re-accreditation or re-selection</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category from October 1993 – November 2005 can be destroyed
		Successful	Hard copy	Transfer to records store 6 months after termination	Destroy 5 years after transfer to records store		Files in this category up to October 2000 can be destroyed if they have not been re-accredited or reselected
1.14.2		Adjudicator agendas relating to membership or re-accreditation or re-selection applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.14.3		Adjudicator minutes relating to membership or re-accreditation or re-selection applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file
1.14.4		Adjudicator papers relating to membership or re-accreditation or re-selection applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file
1.14.5		Appeals relating to applicants who have been refused membership or re-accreditation or re-selection or who have had their membership suspended or revoked	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file
1.14.6		Assessor's reporting sheets relating to membership or re-accreditation applicants	Hard copy	Hold in ETU pending destruction	Destroy 3 months after assessment	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.14.7		Attendance notes relating to membership or re-accreditation or re-selection applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy 3 months after assessment		One hard copy on applicant's file for duration of retention of file
1.15	Planning Panel						
1.15.1	<i>Applications for membership or re-accreditation or re-selection</i>						
		Unsuccessful	Hard copy	Hold in ETU pending destruction	Destroy 6 months after date of decision	To account for any appeal or dispute	Files in this category up to November 2005 can be destroyed
		Successful	Hard copy	Transfer to records store 6 months after termination	Destroy 5 years after transfer to records store	Planning Panel membership usually lasts 5 years	Files in this category up to November 2000 can be destroyed if applicant has not been re-accredited
1.15.2		Adjudicator agendas relating to membership or re-accreditation or re-selection applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.15.3		Adjudicator minutes relating to membership or re-accreditation or re-selection applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy relating to the adjudicator's decision on applicant's file for duration of retention of file
1.15.4		Adjudicator papers relating to membership or re-accreditation or re-selection applicants	Hard copy and electronic version	Hold in ETU pending destruction/deletion	Destroy/delete 1 year after creation		One hard copy on applicant's file for duration of retention of file
1.15.5		Appeals relating to applicants who have been refused membership or re-accreditation or who have had their membership suspended or revoked	Hard copy	Hold in ETU pending destruction	Destroy 3 months after appeal	To account for any appeal/dispute	One copy on applicant's file for duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.16	All accreditation schemes/panels						
1.16.1		Consultation documents: <ul style="list-style-type: none"> • Initial consultation document • Consultation responses • Consultation analyses 	Hard copy and electronic format	Transfer hard copy to records store 6 months after creation other than responses which should be transferred to the Corporate Historical Archive for permanent retention	Review 12 months after transfer to records store	Destruction/deletion of both hard and electronic versions should be after 18 months or until after the first review whichever is the later date	
1.16.2		General correspondence on panels / accreditation schemes – not specific to an individual member of the panel / accreditation scheme	Hard copy and electronic format	Hold in ETU pending destruction	Destroy/delete 12 months after date of receipt/creation		

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes	
1.16.3		Lists of membership details of accreditation schemes/panels	Excel spreadsheet				Delete in accordance with destruction policy for membership records of specific scheme or panel *	* Retain all surviving spreadsheets until Management Information has completed project to centralise any reports/ statistical analyses into panels/schemes
1.16.4		Complaints regarding an individual accreditation scheme / panel member	Hard copy and electronic copy	Transfer to record store once complaint dealt with				One hard copy of complaint and complaint papers(if any) on the applicant's file for the duration of retention of file

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
1.16.5		Complaints regarding the assessment organisation	Hard copy and electronic copy	Transfer to record store once complaint dealt with			One hard copy of complaint and complaint papers(if any) on the assessment organisation's file for the duration of retention of file
2. Adjudicators, advisers, assessors, chief assessors, chief external examiners, monitors, chief monitor, delegates, moderators							
2.1 Adjudicators							
2.1.1		Agendas and minutes	Hard and electronic copy				To be decided by January 2007 at HBU level across all directorates
2.1.2		Application forms – successful	Hard copy	Hold in ETU 3 months after term of office pending transfer to records store	6 years after term of office	As per Limitation Act 1980 which recommends 6 years after termination of employment for personnel files	

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.1.3		Application forms – unsuccessful	Hard copy	Hold in ETU for 6 months pending destruction	6 months after the selection process		
2.1.4		Contact details forms	Hard copy and electronic copy	Hold electronic copy in ETU 3 months after term of office pending destruction	Destroy hard copy once entered onto spreadsheet		Obsolete contact details need to be destroyed straight away as they are personal data
2.1.5		Contract for services	Hard copy and electronic copy	Hold copy in ETU for 3 months after expiry of contract pending destruction	3 months after expiry of contract		Original to be sent to Legal Services Directorate Hold either hard copy or electronic copy in ETU – no requirement to hold both
2.1.6		Correspondence	Hard copy and electronic copy	Hold in ETU 3 months after term of office pending transfer to records store	6 years after term of office	As per Limitation Act 1980 which recommends 6 years after termination of employment for personnel files	

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.1.7		Expenses	Hard copy	Hold in ETU 6 months pending destruction		Originals held by Finance for 6 years in accordance with the Value Added Tax Act 1994	
2.1.8		Fees	Hard copy	Hold in ETU 6 months pending destruction	6 months	Original held by Finance and Resources for the required period	
2.1.9		Vetting forms	Hard copy	Hold in ETU 3 months after selection process pending destruction			
2.2	Advisers						
2.2.1		Application forms – successful	Hard copy	Hold in ETU 3 months after term of office pending transfer to records store	6 years after term of office	As per Limitation Act 1980 which recommends 6 years after termination of employment for personnel files	
2.2.2		Application forms – unsuccessful	Hard copy	Hold in ETU for 6 months pending destruction			

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.2.3		Contract for services	Hard copy and electronic copy	Hold copy in ETU for 3 months after expiry of contract pending destruction			Original to be sent to Legal Services Directorate
2.2.4		Contact details forms	Hard copy and electronic copy	Hold in ETU 3 months after term of office pending destruction			
2.2.5		Correspondence	Hard copy and electronic copy	Hold in ETU 3 months after term of office pending transfer to records store	6 years after term of office	As per Limitation Act 1980 which recommends 6 years after termination of employment for personnel files	
2.2.6		Expenses	Hard copy	Hold in ETU 6 months pending destruction		Originals held by Finance for 6 years in accordance with the Value Added Tax Act 1994	
2.2.7		Fees	Hard copy	Hold in ETU 6 months pending destruction	6 months	Original held by Finance and Resources for the required period	

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.3	Assessors						
2.3.1		Application forms – successful	Hard copy	Hold in ETU 3 months after term of office pending transfer to records store	6 years after term of office	As per Limitation Act 1980 which recommends 6 years after termination of employment for personnel files	
2.3.2		Application forms – unsuccessful	Hard copy	Hold in ETU for 6 months pending destruction			
2.3.3		Contract for services	Hard copy and electronic copy	Hold copy in ETU for 3 months after expiry of contract pending destruction			Original to be sent to Legal Services Directorate
2.3.4		Correspondence	Hard copy and electronic copy	Hold in ETU 3 months after term of office pending transfer to records store	6 years after term of office	As per Limitation Act 1980 which recommends 6 years after termination of employment for personnel files	

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.3.5		Expenses	Hard copy	Hold in ETU 6 months pending destruction		Originals held by Finance for 6 years in accordance with the Value Added Tax Act 1994	
2.4	Chief assessors						
2.4.1		Annual reports	Hard copy	Hold in ETU 5 years pending destruction	Permanent record	Official record held by Education and Training Committee	Chief assessors are recruited on a three year contract basis
2.4.2		Application forms – successful	Hard copy	Hold in ETU 3 months after term of office pending transfer to records store	6 years after term of office	As per Limitation Act 1980 which recommends 6 years after termination of employment for personnel files	
2.4.3		Application forms – unsuccessful	Hard copy	Hold in ETU for 6 months pending destruction			
2.4.4		Contract for services	Hard copy and electronic copy	Hold copy in ETU for 3 months after expiry of contract pending destruction		Original to be sent to Legal Services Directorate	

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.4.5		Correspondence	Hard copy and electronic copy	One copy of correspondence on applicant's file for the duration of the retention of the file			
2.4.6		Expenses	Hard copy	Hold in ETU 6 months pending destruction		Originals held by Finance for 6 years in accordance with the Value Added Tax Act 1994	
2.4.7		Fees	Hard copy	Hold in ETU 6 months pending destruction	6 months	Original held by Finance and Resources for the required period	
2.4.8		Objectives	Hard copy	Hold in ETU until expiry of contract pending destruction	6 years after term of office	As per Limitation Act 1980 which recommends 6 years after termination of employment for personnel files	
2.4.9		Payment requisition forms	Hard copy	Hold in ETU for 6 months after payment requested pending destruction		Originals held by Finance	

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.4.10		Time recording sheets/summaries		Hold in ETU pending destruction	Destroy 2 years after creation		
2.4.11		Vetting forms	Hard copy	Hold in ETU 3 months after selection process pending destruction			
2.5	Consultants						
2.5.1		Application forms – successful	Hard copy	Hold in ETU 3 months after term of office pending transfer to records store	6 years after term of office	As per Limitation Act 1980 which recommends 6 years after termination of employment for personnel files	
2.5.2		Application forms – unsuccessful	Hard copy	Hold in ETU for 6 months pending destruction			
2.5.3		Contract for services	Hard copy and electronic copy	Hold copy in ETU for 3 months after expiry of contract pending destruction			Original to be sent to Legal Services Directorate

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.5.4		Correspondence	Hard copy and electronic copy	One copy of correspondence on applicant's file for the duration of the retention of the file			
2.5.5		Expenses	Hard copy	Hold in ETU 6 months pending destruction		Originals held by Finance for 6 years in accordance with the Value Added Tax Act 1994	
2.5.6		Fees	Hard copy	Hold in ETU 6 months pending destruction	6 months	Original held by Finance and Resources for the required period	
2.6	Chief external examiners						
2.6.1		Application forms – successful	Hard copy	Hold in ETU 3 months after term of office pending transfer to records store	6 years after term of office	As per Limitation Act 1980 which recommends 6 years after termination of employment for personnel files	
2.6.2		Application forms – unsuccessful	Hard copy	Hold in ETU for 6 months pending destruction			

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.6.3		Contract for services	Hard copy and electronic copy	Hold copy in ETU for 3 months after expiry of contract			Original to be sent to Legal Services Directorate
2.6.4		Correspondence	Hard copy and electronic copy	One copy of correspondence on applicant's file for the duration of the retention of the file			
2.6.5		Expenses	Hard copy	Hold in ETU 6 months pending destruction		Originals held by Finance for 6 years in accordance with the Value Added Tax Act 1994	
2.6.6		Fees	Hard copy	Hold in ETU 6 months pending destruction	6 months	Original held by Finance and Resources for the required period	

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.7	Monitors						
2.7.1		Successful applicants' CVs	Hard copy	Hold in ETU 3 months after term of office pending transfer to records store	6 years after term of office	As per Limitation Act 1980 which recommends 6 years after termination of employment for personnel files	
2.7.2		Unsuccessful applicants' CVs	Hard copy	Hold in ETU for 6 months pending destruction			
2.7.3		Contract for services	Hard copy and electronic copy	Hold copy in ETU for 3 months after expiry of contract pending destruction			Original to be sent to Legal Services Directorate
2.7.4		Correspondence	Hard copy and electronic copy	One copy of correspondence on applicant's file for the duration of the retention of the file			

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.7.5		Expenses	Hard copy	Hold in ETU 6 months pending destruction		Originals held by Finance for 6 years in accordance with the Value Added Tax Act 1994	
2.7.6		Fees	Hard copy	Hold in ETU 6 months pending destruction	6 months	Original held by Finance and Resources for the required period	
2.7.8		Contact details forms	Electronic copy	Hold in ETU 3 months after term of office pending destruction			
2.8	Chief monitors						
2.8.1		Successful applicant's CV	Hard copy	Hold in ETU 3 months after term of office pending transfer to records store	6 years after term of office	As per Limitation Act 1980 which recommends 6 years after termination of employment for personnel files	
2.8.2		Unsuccessful applicants' CVs	Hard copy	Hold in ETU for 6 months pending destruction			

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.8.3		Agendas and minutes	Hard copy and electronic copy	Hold in ETU for 5 years	Permanent record held by Corporate Archives	Official record	
2.8.4		Annual reports	Hard copy	Hold in ETU 5 years pending destruction			Monitors are recruited on a three year contract basis
2.8.5		Contract for services	Hard copy and electronic copy	Hold copy in ETU for 3 months after expiry of contract pending destruction		Storage of Legal Documents: Lodging Documents Policy	Original to be sent to Legal Services Directorate
2.8.6		Correspondence	Hard copy and electronic copy	One copy of correspondence on applicant's file for the duration of the retention of the file			
2.8.7		Expenses	Hard copy	Hold in ETU 6 months pending destruction		Originals held by Finance for 6 years in accordance with the Value Added Tax Act 1994	

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.8.8		Fees	Hard copy	Hold in ETU 6 months pending destruction	6 months	Original held by Finance and Resources for the required period	
2.8.9		Objectives	Hard copy	Hold in ETU until expiry of contract pending destruction			
2.8.10		Time recording sheets/summaries		Hold in ETU pending destruction	Destroy 2 years after creation		

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.9 Delegates							
2.9.1		Attendance sheets	Hard copies	Hold in ETU for 2 years after the event			Held for CPD purposes – an individual can only claim CPD for the year in which the event attracted CPD. Providers are required to keep the delegate lists for two years and in this instance the Law Society is deemed a provider
2.9.2		Expense claim forms	Photocopies	Hold in ETU 6 months pending destruction		Originals held by Finance for 6 years in accordance with the Value Added Tax Act 1994	
2.10 Moderators							
2.10.1		Time recording sheets		Hold in ETU pending destruction	Destroy 2 years after creation		

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
2.10.2		Expenses	Hard copy	Hold in ETU 6 months pending destruction		Originals held by Finance for 6 years in accordance with the Value Added Tax Act 1994	
2.10.3		Fees	Hard copy	Hold in ETU 6 months pending destruction	6 months	Original held by Finance and Resources for the required period	
3. Budget							
3.1		Copy invoices	Hard copy	Hold in ETU 6 months pending destruction		Originals held by Finance for 6 years in accordance with the Value Added Tax Act 1994	All files up to September 2005 can be destroyed
4. Bursaries							
4.1 Bursary awards							
4.1.1		Applications (including exercises, references and disclosures) – unsuccessful	Hard copy	Hold in ETU for 6 months pending destruction			

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
4.1.2		Applications (including exercises, references and disclosures) – successful	Hard copy	Hold in ETU for 18 months pending destruction			
4.1.3		Short listing matrices	Hard copy	Hold in ETU 6 months pending destruction			
4.1.4		Photocopies of application forms	Hold in office pending decision made by committee	Destroy once decision is made	Destroy once decision is made		
4.1.5		General correspondence	Hard copy and electronic copy	Hold in ETU 12 months pending destruction	Destroy/delete 12 months after receipt/creation		
4.1.6		Correspondence relating to an individual	Hard copy / electronic copy		One copy of correspondence on the applicant's file for the duration of the retention of the file		

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
4.1.7		Bursary Sub-Committee Minutes		Hold in ETU 6 months and then transfer to Corporate Archives			
4.1.8		Expense forms	Hard copy	Hold copy in ETU for 6 months pending destruction			
4.1.9		Feedback questionnaires	Hard copy	Hold in ETU 3 months pending destruction			
4.1.10		Spreadsheets relating to applicants data	Electronic	Hold in ETU 18 months pending destruction			
4.1.11		Questionnaires to successful applicants	Photocopy	Hold in ETU 3 months pending destruction			
4.1.12		Terms of trusts	Hard copy	Copy held in ETU and original held in Corporate Archives	Permanent retention	Documents are required to administer the trusts in accordance with the terms laid out	Original trust deeds to be held by Legal Services

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
5. Careers							
5.1 Law Careers Advice Network							
5.1.1		Agendas/minutes	Hard copy and electronic copy			Transfer to corporate archives when we are the secretary to the network	Joint network – one permanent copy to be kept when the Law Society is the secretary.
5.1.2		Materials	Hard copy	Hold in ETU until superseded		Destroy when reference ceases	
5.1.3		Newsletters	Hard copy			Corporate archives	
5.1.4		Conferences	Hard copy and electronic copy	Hold in ETU for 12 months		Permanent retention – one copy to Corporate archives	

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
5.2 So you want to be a lawyer							
5.2.1		Correspondence	Hard copy	Hold in ETU for 12 months pending destruction	Destroy after 12 months		The event was last held in 2004 – all correspondence can be destroyed
5.2.2		Spreadsheets relating to schools/pupil data	Electronic copy	Hold in ETU for 12 months pending destruction	Destroy after 12 months		The event was last held in 2004 – all correspondence can be destroyed
6. Continuing professional development							
6.1		Individuals					To be advised
6.2		In house authorisation					To be advised
6.3		In house courses					To be advised
6.4		Investors in people					To be advised
6.5		Management development working group					To be advised

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
6.6		National Occupational Standards					To be advised
6.7		Subject lists					To be advised
6.8		Individual waivers					To be advised
7. Common Professional Examination							

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
8. Criminal Records Bureau							
8.1		Disclosure information		Hold in ETU 6 months pending destruction	Destroy 6 months after date of the decision or after the date on which any dispute about the accuracy of the disclosure information has been resolved		<p>Disclosure information should not be retained longer than necessary, generally 6 months after the date of the decision or after the date on which any dispute about the accuracy of the disclosure information was resolved.</p> <p>This period should only be exceeded in very exceptional circumstances which justify retention for a longer period. If it is considered necessary to keep it longer than 6 months, the CRB should be consulted who will give full consideration to the data protection and human rights of the individual.</p>

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
9. Diversity Access Scheme							
9.1		Applications (including exercises, references and disclosures) – unsuccessful	Hard copy	Hold in ETU for 6 months	Destroy after 6 months		
9.2		Applications (including exercises, references and disclosures) – successful	Hard copy	Hold in ETU for 18 months pending destruction	Destroy after 18 months		
9.3		Short listing matrices	Hard copy	Hold in ETU 6 months pending destruction	Destroy after 6 months		
9.4		General correspondence	Hard copy	Hold in ETU 12 months pending destruction	Destroy after 12 months		
9.5		Correspondence relating to an individual	Hard copy	Copy on file held in ETU for 18 months pending destruction			
9.6		Spreadsheets relating to applicants data	Electronic	Hold in office 18 months pending destruction	Destroy after 18 months		

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
9.7		Photocopies of application forms	Photocopy	Hold in office pending decision made by committee	Destroy once decision is made		
9.8		Questionnaires to successful applicants		Hold in office 3 months pending destruction	Destroy after 3 months		
10. Graduate diploma in law							To be advised
11. Institute of Legal Executives							
11.1		Minutes and agendas	Hard and electronic copy	Hold in office for 12 months	Transfer to corporate archives when we are the secretary to the meetings		One permanent copy to be kept when the Law Society is the secretary
12. Joint Academic Stage Board							
12.1		Agendas and minutes	Hard / electronic copy	Hold in office for 12 months	Transfer to corporate archives when we are the secretary to the meetings		One permanent copy to be kept when the Law Society is the secretary

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
12.2		Reports	Hard / electronic copy	Hold in office for 12 months	Transfer to corporate archives when we are the secretary to the meetings		One permanent copy to be kept when the Law Society is the secretary
13. Legal Practice Course							To be advised
14. Professional Skills Course							
14.1		Pre 2006 course material	Hard copy	Hold in ETU for 6 months	Destroy after 6 months		All course materials held at off site can be destroyed as out of date.
14.2		Post 2006 course material	Hard copy	Hold in ETU for 6 months pending destruction	Destroy 6 months after date of decision		
15. Qualifying law degree materials							To be advised
16. Qualified lawyers transfer test materials							To be advised

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
17. Training establishments							
17.1 Authorisation							
17.1.1		Applications for authorisation	Hard copy and electronic	Hold in office for 12 months after the outcome of the application	Destroy once firm intervened in / merged / acquired / split / ceased to trade		
17.1.2		Waivers of the training regulations	Hard copy and electronic	Hold in office for 12 months after the outcome of the application	Destroy once firm intervened in / merged / acquired / split / ceased to trade		
17.1.3		Monthly statistics	Hard copy and electronic	Hold in office for 12 months after they have been compiled			Copy goes into the director's report to Education and Training Committee
17.2 Monitoring							
17.2.1		Database	Electronic	Hold in office for 12 months after outcome			

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
17.2.2		Selection sheets	Hard copy		Destroy once visit outcomes completed		
17.2.3		Correspondence	Electronic Hard copy	Keep in ETU group folder until work completed For the retention of the file			
17.2.4		Questionnaires			Destroy once visit outcomes completed		
17.2.5		Training records			Destroy once visit outcomes completed		
17.2.6		Visit reports		Held on firm file for the length of retention of the file			
17.2.7		After visit reports		Held on firm file for the length of retention of the file			
17.2.8		Annual statistics		Hold in ETU for 12 months	Destroy after 12 months		

Disposal class number	Activity/area of work	Record type/sub-type	Medium / format	Period of ETU office retention	Disposal date	Reason for retention period	Notes
17.2.9		Blank masters		Hold in ETU until superseded			
17.2.10		Monitors annual training days		Hold in ETU for 12 months pending destruction	Destroy 12 months after the event		
17.2.11		Standard letters		Hold in ETU until superseded			
17.3	Training principal seminars						
17.3.1		CPD lists		Hold in ETU for 2 years pending destruction			Hold for two years in accordance with the CPD regulations
17.3.2		Hard copy of delegate handouts and information pack					