

# **Records disposal schedule**

## **SRA information compliance**

Policy Support Unit

Updated: 31 December 2009

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## Document history approval and contributors

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## Key to abbreviations

FOI	Freedom of information
MI	Management information
SAR	Subject access request
SRA	Solicitors Regulation Authority
TLS	The Law Society

## Purpose

The records disposal schedule which follows will form part of a set of procedures setting out minimum standards for records management in the 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 (electronic and hard copy) generated, received and managed by the SRA's information compliance function.

The function covers the management, collation and referral from or to TLS Information Compliance of requests for information under our FOI Code of Practice and subject access requests under the Data Protection Act.

## 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 one–three months after closure) should be transferred to the Midlands Archive store.

The provisions of this schedule were formally approved in January 2010 via e-mail by Bob Stanley - Information Compliance Manager.

## The schedule

**SRA Information Compliance** (last updated 31 December 2009) version 1.0: records covering the management, collation and referral from or to TLS Information Compliance of requests for information under our FOI Code of Practice and subject access requests under the Data Protection Act.

For disposal of administrative, housekeeping or project records and reference material refer to the [general records disposal schedule](#).

Contents list:

1. Managing requests for information under the FOI [Code of Practice](#)
2. Managing subject access requests under the [Data Protection Act 1998](#)

Disposal class number	Function	Activity	Record type/ sub-type	Medium/ format/ storage location	Recommended disposal by team	Statutory retention requirement or best practice	Notes
1.	Managing requests for information under the FOI <a href="#">Code of Practice</a>						
1.1		Managing business as usual requests					

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Disposal class number	Function	Activity	Record type/ sub-type	Medium/ format/ storage location	Recommended disposal by team	Statutory retention requirement or best practice	Notes
1.1.1			Requests referred to appropriate business unit	Hard copy or e-mail	Business units should dispose of in accordance with <a href="#">General records disposal schedule</a> s.7	In line with <b>TLS Information Compliance records disposal schedule</b>  Business units should dispose of in accordance with <a href="#">General records disposal schedule</a> s.7	To allow for review of request type, procedure for responding and whether multiple requests for the same information are received

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Disposal class number	Function	Activity	Record type/ sub-type	Medium/ format/ storage location	Recommended disposal by team	Statutory retention requirement or best practice	Notes
1.2		Managing requests which cannot be treated as business as usual					
1.2.1			Requests which are co-ordinated by SRA Information Compliance	Hard copy or electronic copies stored in SRA Information Compliance folder	Destroy 1 year after request responded to	In line with <b>TLS Information Compliance records disposal schedule</b>	To allow for review of request type, procedure for responding and whether multiple requests for the same information are received

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Disposal class number	Function	Activity	Record type/ sub-type	Medium/ format/ storage location	Recommended disposal by team	Statutory retention requirement or best practice	Notes
1.2.2			Documentation compiled in response to a request	Hard copy or electronic copies stored in SRA Information Compliance folder	Destroy 1 year after request responded to	In line with <b>TLS Information Compliance records disposal schedule</b>	
1.3		Monitoring requests					
1.3.1			Log of requests	Electronic (excel spreadsheet) in SRA Information Compliance folder	Destroy after 1 year		Original requests held by information compliance manager

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Disposal class number	Function	Activity	Record type/ sub-type	Medium/ format/ storage location	Recommended disposal by team	Statutory retention requirement or best practice	Notes
2.	Managing subject access requests under the <a href="#">Data Protection Act 1998</a>						
2.1		SAR receipt from/referral to TLS Information Compliance					
2.1.1			Subject access requests: <ul style="list-style-type: none"> <li>• From employees</li> <li>• From the public or solicitors</li> </ul>	Hard copy or electronic copies stored in SRA Information Compliance folder	Destroy/delete 1 year after completion of request	In line with <b>TLS Information Compliance records disposal schedule</b>	

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Disposal class number	Function	Activity	Record type/ sub-type	Medium/ format/ storage location	Recommended disposal by team	Statutory retention requirement or best practice	Notes
2.1.2			Personal data compiled in response to an SAR	Hard copy or electronic copies stored in SRA Information Compliance folder	Destroy on completion of request	<a href="#">Data Protection Act 1998</a> Schedule I S.5	TLS Information Compliance holds all data for 2 years
2.2		Monitoring SARs					
2.2.1			SAR log	Electronic (excel spreadsheet) in SRA Information Compliance folder	Destroy after 1 year		Original requests held by information compliance manager