

# **Records disposal schedule**

Information Directorate

Information Unit

Last updated: 6 February 2009

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## Disposal of records

There are only two ways to dispose of records:

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

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

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

The provisions of this schedule have been formally approved by Kerrie Best, Head of the Information Unit.

Approved by Kerrie Best via e-mail

Date.....6 February 2009

## The schedule

<p><b>Information Directorate - Information Unit</b> (last updated 6 February 2009) version 1.0 records covering information collection, analysis and communication in order to predict trends, analyse risk and aid future policy decision-making in relation to regulated individuals and organisations</p> <p>For disposal of administrative or housekeeping records refer to the <a href="#">general records disposal schedule</a>.</p>							
<p>Contents list:</p> <ol style="list-style-type: none"> <li>1. External information collection and analysis</li> <li>2. Strategic planning for trend and risk analysis</li> <li>3. Undertaking research projects to analyse and report on trends and assess risk</li> </ol>							
Disposal class number	Function	Activity	Record type/sub-type	Medium/format/storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
1.	External information collection and analysis						
1.1		Collecting and assessing information to analyse trends in professional behaviour and protect the public interest					

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1.1.1			Questionnaire documentation e.g.: <ul style="list-style-type: none"> <li>• EBR</li> <li>• PC renewal</li> <li>• Student enrolment</li> </ul>	Word documents and excel spreadsheets in group folder	Review annually to determine on-going reference value	Any personal data collected must be stored securely and destroyed once no longer needed to conform with the <a href="#">Data Protection Act 1998</a>	
1.1.2			Benchmarking documentation	Word and pdf documents and excel spreadsheets in group folder	Review 5 years after action completed to determine on-going reference value; if retained review at intervals of 2 years		

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1.1.3			Horizon scanning documentation	Word and html documents in group folder	Review 6 years after action completed to determine on-going reference value; if retained review at intervals of 2 years		
<b>2.</b>	<b>Strategic planning for trend and risk analysis</b>						
2.1		Planning and recommendations					

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2.1.1			Information and Risk Management Working group and sub-groups agenda, minutes and papers	Word documents in group folder	Review 5 years after action completed to determine on-going reference value; if retained review at intervals of 2 years		
2.2		Communicating strategy					
2.2.1			Presentations	Documents in group folder	Review 5 years after action completed to determine on-going reference value; if retained review at intervals of 2 years		

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<b>3.</b>	<b>Undertaking research projects to analyse trends and assess risk</b>						
3.1		Specific projects e.g.: Accountants' reports, Character and suitability, Decision making, E&D, Early warning indicators, Health check for the profession, Information audit, New firms initiative, No win no fee, Referral fees, Student enrolment					

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3.1.1			Raw data	Word documents and excel spreadsheets in group folder	Destroy 1 year after collation and analysis		
3.1.2			Collated data	Excel spreadsheets in group folder	Review 5 years after action completed to determine on-going reference value; if retained review at intervals of 2 years		Potential for inclusion in research database

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3.1.3			Research documentation	Word and pdf documents in group folder	Review 5 years after action completed to determine on-going reference value; if retained review at intervals of 2 years		Potential for inclusion in research database
3.1.4			Data analysis	Documents in group folder	Review 5 years after action completed to determine on-going reference value; if retained review at intervals of 2 years		Potential for inclusion in research database

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3.1.5			Report and appendices	Documents in group folder	Review 5 years after action completed to determine on-going reference value; if retained review at intervals of 2 years		Potential for inclusion in research database