

Records disposal schedule

Investigation and Enforcement, Post Intervention Unit, Regulation, Compliance Directorate

Last updated: 4 April 2006

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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

The schedule will assist in meeting the Law Society's requirements for:

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

The disposal provisions take into account legislative or regulatory requirements, business need, staff reference use and potential long-term research and/or legal or evidential value. The provisions apply equally to records in electronic and paper format and the same disposal instruction will apply to records performing the same function, irrespective of format or medium, unless specific procedures to the contrary are outlined in the schedule.

Disposal categories

All records listed in a disposal schedule 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.

The disposal provisions listed in the schedule give recommended dates for destruction only; records may always be held for a longer period should a business or reference need arise.

The schedule will necessarily be a dynamic document which will need to be updated according to changes in legislation and new practices within the Law Society. The schedule will be reviewed annually; requests for amendments/additions should be forwarded to the [Records Manager](#).

For details about disposal of records in all formats see the [Records disposal guidance](#) available on Insight.

The provisions of this schedule have been formally approved by John Palmer, Head of the Post Intervention Unit.

Signed:

Date:

(Head of Post Intervention Unit)

The Schedule

The schedule covers the internal operations of the Post Intervention Unit (PIU) in managing the Intervention Archives. The schedule does **not** cover the records of intervened solicitors. PIU is the custodian only of these records; their disposal awaits the result of an impending court case.

PIU manages the following:

- Intervention Archives Department (IAD)
- Intervention Archives Recovery (IAR)
- Statutory Trust Accounts (STA)

Part I: Intervention Archives management						
Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
1.	Guidelines and procedures e.g.					
1.1		<ul style="list-style-type: none"> • Interventions process • Weeding guidelines 	Hard copy / electronic	Hold in office pending destruction	Destroy/delete as superseded	
2.	Collection of interventions records					
2.1		Correspondence with intervention agents	Transearch. Older lists are in hard copy	Retain until interventions files referred to are destroyed		

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
2.2		Schedules of records forwarded by intervention agents	Transearch, hard copy, CD, floppy disk	Retain until interventions files referred to are destroyed		
2.3		Correspondence with/documentation from transport company		Destroy/delete 6 years after action completed		
2.4		Records transmittal lists / delivery notes		Destroy 10 years after file closed	National Archives guidelines	
2.5		Invoices		Destroy when reference ceases		Send originals to Finance
2.6		Intervention collection logs		Destroy 10 years after file closed	National Archives guidelines	
3.	Interventions file lists					
3.1		List of original documents (e.g. wills, deeds)	Transearch. Older lists are in hard copy	Retain until original documents are destroyed or returned to client		Details kept with destruction logs

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
3.2		File category list (matter types / area of law)	Transearch. Older lists are in hard copy	Retain until files referred to are destroyed		Details will be kept with destruction logs
3.3		Indexes to documents		Delete once index term entered on Transearch		
4.	Requests for files or file searches					
4.1		Initial referral letters	Hard copy	Destroy 1 year after issue		Reference copy only; originals with IAR
4.2		Requisitions	Electronic	Delete 6 years after issue		In tandem with anticipated destruction policy for interventions files
			Hard copy	Destroy 6 months after issue		Reference copy only

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
5.	File movement logs					
5.1		Inventory of all files / documents requested from IAD	Hard copy; now on Transearch?	Destroy/delete once statistics compiled/system audited		
5.2		Location records	Transearch?	Delete as superseded		
5.3		Tracking logs (movement of files in and out of IAD)	Transearch?	Delete once statistics compiled / system audited		
5.4		Transport packing slips		Destroy once records have been returned		
6.	Transfer of records to external storage (Iron Mountain; Recall)					
6.1		Correspondence with / documentation from external storage companies	Hard copy / electronic	Destroy/delete 6 years after action completed		

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
6.2		Log of movement of records to and from external storage	Hard copy / electronic	Delete once statistics compiled / system audited		
6.3		Records transmittal lists / delivery notes	Hard copy / electronic	Destroy 10 years after file closed	National Archives guidelines	
6.4		Requests for return of files / documents	Hard copy / electronic	Delete/destroy 6 years after action completed	National Archives guidelines	
7.	Destruction of interventions records					
7.1		Records destruction policy	Hard copy / electronic?	Retain one copy of each revised policy permanently in Corporate Historical Archives	Policy for archiving corporate documents	Note: awaiting revised policy from the court
7.2		Destruction authorisations	Hard copy / electronic?	Destroy 10 years after action	National Archives guidelines	

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
7.3		Destruction logs / certificates of file destruction	Hard copy; also on Transearch?	Retain permanently	Evidential value	Note: this process has halted pending a court decision
8.	IAD file system management (Transearch, formerly Hayes Indexer)					
8.1		Indexer requisition lists	Hard copy / electronic?	Destroy as superseded		
8.2		Indexer put away lists	Hard copy / electronic?	Destroy as superseded		
8.3		User manual	Hard copy / electronic?	Destroy as superseded		
8.4		Data input box locations	Hard copy / electronic?	Destroy as superseded		
8.5		Server backup tapes	Tapes	Awaiting advice from ICT		Date back to 2004

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
9.	Archive store management					
9.1		Contracts	Hard copy / electronic?	Destroy as convenient		Originals sent to Facilities & Procurement
9.2		Leases and licences	Hard copy / electronic?	Destroy as convenient		Originals sent to Facilities & Procurement
9.3		Agreements with contractors and consultants	Hard copy / electronic?	Destroy as convenient		Originals sent to Facilities & Procurement
9.4		Building surveys and inspections	Hard copy / electronic?	Destroy as convenient		Originals sent to Facilities & Procurement
9.5		Fire inspection reports	Hard copy / electronic?	Destroy as convenient		Originals sent to Facilities & Procurement

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
9.6		Fire certificates	Hard copy / electronic?	Destroy as convenient		Originals sent to Facilities & Procurement
9.7		Minor works documentation	Hard copy / electronic?	Destroy as convenient		Originals sent to Facilities & Procurement
10.	Building security management					
10.1		Keyholders' details	Hard copy / electronic	Destroy as convenient		Originals sent to Facilities & Procurement
10.2		Key issue / return logs	Hard copy / electronic	Destroy 3 months after action completed		
10.3		Visitors logs	Hard copy / electronic	Destroy 3 months after action completed		

Part I: Intervention Archives management						
Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
10.4		Monitoring of access to building / archive store	CCTV	Destroy 3 months after action completed	Information Commissioner CCTV Code of Practice	
11.	Plant, equipment and utilities maintenance					
11.1		Racking and other equipment inspection reports	Hard copy / electronic	Destroy as superseded		Original documentation with Facilities & Procurement
11.2		Maintenance schedules	Hard copy / electronic	Destroy as superseded		Original documentation with Facilities & Procurement
11.3		Corrective action schedules	Hard copy / electronic	Destroy as superseded		Original documentation with Facilities & Procurement
11.4		Inspection certificates	Hard copy / electronic	Destroy as superseded		Original documentation with Facilities & Procurement

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
11.5		Maintenance certificates	Hard copy / electronic	Destroy as superseded		Original documentation with Facilities & Procurement
11.6		Repair reports	Hard copy / electronic	Destroy as superseded		Original documentation with Facilities & Procurement
11.7		Fork lift truck log	Hard copy / electronic	Destroy 3 months after action completed		
11.8		Pallet truck log	Hard copy / electronic	Destroy 3 months after action completed		
11.9		Vehicle log	Hard copy / electronic	Destroy 3 months after booking		
11.10		Parking log	Hard copy / electronic	Destroy 3 months after booking		
11.11		Parking reservation requests	Hard copy / electronic	Destroy 3 months after booking		

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
11.12		Cleaning documentation	Hard copy / electronic	Destroy as superseded		Original documentation with Facilities & Procurement
11.13		Inventories of furniture and fittings	Hard copy / electronic	Destroy as superseded		Original documentation with Facilities & Procurement
11.14		Maintenance manuals	Hard copy / electronic	Destroy as superseded		
11.15		Vending services documentation	Hard copy / electronic	Destroy as superseded		Original documentation with Facilities & Procurement
11.16		Utilities documentation	Hard copy / electronic	Destroy as superseded		Original documentation with Facilities & Procurement
12.	Health and safety management					
12.1		Manual handling guidelines	Hard copy and electronic?	Destroy/delete 1 year after superseded		

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
12.2		Monitoring of working environment reports	Hard copy / electronic	Destroy as superseded		Original documentation with Facilities & Procurement
12.3		Health surveillance reports	Hard copy / electronic	Destroy as superseded		Original documentation with Facilities & Procurement
12.4		Investigation of accidents and dangerous occurrences	Hard copy / electronic	Destroy as superseded		Original documentation with Facilities & Procurement
12.5		Accident books and forms: Accident book Accident Report – Form F2508 (Reportable accidents and dangerous occurrences) Accident reports	Hard copy / electronic?	Destroy 3 years after completion of book Destroy 3 years after date of report Destroy 3 years after date of occurrence	Limitation Act 1980 Health and Safety at Work Act 1974 Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995	

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
		Dangerous occurrence reports		Destroy 3 years after date of occurrence		
12.6		First aid log book	Hard copy / electronic	Destroy 3 years after log closed	Limitation Act 1980 Health and Safety at Work Act 1974	
12.7		Protective clothing arrangements	Hard copy / electronic	Destroy 3 years after action completed		
12.8		Health and safety checklists	Hard copy / electronic	Destroy 3 years after log closed		
13.	Staff management					
13.1		Permanent staff: personnel files	Hard copy	Destroy immediately		Should not be held locally. Contact HR if in any doubt as to whether entire file should be destroyed or some documents passed to HR

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
13.2		Permanent staff: sickness/medical details	Electronic/hard copy	Destroy immediately		Should not be held locally. Contact HR if in any doubt as to whether documents should be passed to HR
13.3		Permanent staff disciplinary records	Electronic/hard copy	Destroy immediately		Should not be held locally. Contact HR if in any doubt as to whether documents should be passed to HR

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
13.4		Staff appraisals	Electronic/hard copy	Destroy/delete as superseded		Must be held securely to comply with the Data Protection Act
13.5		Temporary staff: contact or personal details	Hard copy / electronic?	Destroy as soon as staff member leaves		May include personal data; must be held securely to comply with the Data Protection Act
13.6		Temporary staff: holiday requests	Hard copy / electronic?	Destroy as soon as staff member leaves		May include personal data; must be held securely to comply with the Data Protection Act
13.7		Temporary staff: timesheets (including overtime sheets)	Hard copy / electronic?	Destroy as superseded		Originals should be transferred to Payroll
13.8		Staff signing-on sheets/attendance sheets	Hard copy / electronic?	Destroy 2 years after last date on file	Institute of Chartered Administrators guidelines	

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
13.9		Notes of one to one conversations	Electronic/hard copy	Delete/destroy when no longer current		Must be held securely to comply with the Data Protection Act
13.10		Post proposal forms	Electronic/hard copy	Delete/destroy as soon as original is sent to HR		Send original to HR
13.11		Individual staff training details	Electronic/hard copy	Delete/destroy as soon as original is sent to HR		Send original to HR
13.12		Staff training materials	Hard copy / electronic?	Destroy as superseded		Current materials should be taken to Coventry
13.13		Provision of information about current/former staff	Hard copy / electronic?	Destroy 2 years after action completed		Should not be given without staff member's consent

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
13.14		Responses to requests by current or former staff for access to their personal information	Hard copy / electronic?	Destroy 2 years after completion of request	In line with Information Compliance disposal policy	Subject access requests must be referred to Information Compliance Manager to co-ordinate response
13.15		Sickness/holiday/absence registers	Hard copy / electronic?	Destroy 2 years after action completed		
14.	Financial records					
14.1		Petty cash	Hard copy / electronic	Destroy as convenient		Original sent to Finance & Resources
14.2		Management accounts	Hard copy / electronic	Destroy as convenient		Original sent to Finance & Resources
14.3		Purchasing card information	Hard copy / electronic	Destroy as convenient		Original sent to Finance & Resources
14.4		Invoices	Hard copy / electronic	Destroy as convenient		Original sent to Finance & Resources

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
14.5		Purchase orders	Hard copy / electronic	Destroy as convenient		Original sent to Finance & Resources
14.6		Impress statements	Hard copy / electronic	Destroy as convenient		Original sent to Finance & Resources
14.7		Staff expenses	Hard copy / electronic	Destroy as convenient		Original sent to Finance & Resources
15.	Housekeeping					
15.1		Office management <ul style="list-style-type: none"> • Office diaries • Day books • Address books • Address lists • Distribution lists 	Hard copy / electronic	Destroy when no longer needed / as superseded		
15.2		Corporate committees and working parties copy minutes, agenda and papers	Hard copy / electronic	Destroy when reference ceases		Originals held elsewhere

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
15.3		Minutes, agenda and papers of local group meetings e.g. team leaders' meetings, team meetings	Hard copy / electronic	Destroy/delete one year after date of meeting		Current records should be taken to Coventry
15.4		Working papers not required to support an official document e.g. drafts	Hard copy / electronic	Destroy once results have been written into official document		
15.5		Duplicate documents e.g. <ul style="list-style-type: none"> • Day files • Unaltered drafts • "CC" and "FYI" documents and emails • Snapshots printouts or extracts from databases 	Hard copy / electronic	Destroy when no longer needed		

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
15.6		In-house publications not originating from PIU e.g. <ul style="list-style-type: none"> • Magazines • Marketing materials • Manuals • Directories • Forms 	Hard copy / electronic	Destroy when superseded or once obsolete		
15.7		Transmission documents e.g. which accompany messages but do not add any value to them e.g. <ul style="list-style-type: none"> • Fax cover sheets • Compliments slips • Routing slips 	Hard copy / electronic	Destroy as convenient		
15.8		Information material e.g. <ul style="list-style-type: none"> • Circulars received • Publications received • Reference material received 	Hard copy / electronic	Destroy when no longer needed		Originals held elsewhere

Part I: Intervention Archives management

Disposal class number	Function / activity	Record type / sub-type	Medium / format / storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
15.9		Routine arrangements e.g. <ul style="list-style-type: none"> • Announcements and notices of meetings • Notification of acceptance or apologies • Routine requests for information 	Hard copy / electronic	Destroy when no longer needed		
15.10		Requests for, and confirmation of reservations with third parties e.g. <ul style="list-style-type: none"> • Travel • Accommodation • Restaurants 	Hard copy / electronic	Destroy once invoice has been received		
15.11		Records destruction schedules for operational records	Hard copy / electronic	Destroy 10 years after file closed	National Archives guidelines	
15.12		Destruction authorisations/logs	Hard copy / electronic	Destroy 10 years after file closed	National Archives guidelines	

Appendix II: How to transfer Council, committee and working party documentation to the Corporate Historical Archives

1. Records should be sent to the Library, addressed to Catherine Pease Library, Chancery Lane).
2. Records should be collated by date of committee and clearly labelled.
3. Records may be transferred in electronic format if preferred, other than signed minutes, which must be transferred in hard copy with the original signature. It should be noted, however, that the Library's preference is for transfer of such material in paper format, given that the records will have to be printed out on receipt in any case.
4. Transfer of records to the Corporate Historical Archives should as a rule occur at regular, scheduled intervals e.g. once a year. Where transfer is to take place electronically, it may, however, be more appropriate to include the Library in the circulation list. Where this is the preferred option, the Library should be advised in advance that the circulated papers should be treated as the archive set for permanent retention.
5. Where material is circulated on the Law Society internet or intranet it may be easier to point the Library to the relevant link. Where this is the preferred option, the Library should be asked to download the document from the specified URL and treat it as the archive copy for permanent retention.
6. It is the responsibility of the committee secretaries to ensure that all documentation which should be permanently retained in the Archive is transferred to the Archives at the appropriate time and by one or other of the methods outlined above.
7. Committee secretaries may access material which they have transferred to the Corporate Historical Archives at any time; simply contact the Library in advance to identify the material requested.
8. Law Society staff are permitted to have access to minutes provided they e-mail the Library providing details of the subject matter and dates to be searched. Requests will be dealt with as promptly as possible but there may be a delay in supplying material where permission is needed from the legal advisers or the Information Compliance Manager.