

Records disposal schedule

Records covering all operational functions of the Policy and Communications Directorate

Policy and Communications Directorate

Last updated: 18 March 2009

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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 operational records (paper and electronic) of the Policy and Communications Directorate.

The schedule does not apply to data entered into ROAD. This data will be covered by a separate schedule.

To dispose of administrative records generated by the unit (electronic and paper), staff should refer to the general records disposal schedule: records documenting functions and activities common to most business units. This schedule recommends retention periods for the administrative records which business units create or use in the course of their business.

To implement disposal rules for records managed by the unit (paper or electronic) which are not covered by the above schedules, the directorate's records officer should be contacted. The records officer will liaise with the SRA records manager for the production of an updated version of the schedule to include those records.

Disposal of records

There are only two ways to dispose of records:

1. destroy them; **or**
2. keep them permanently.

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

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

The provisions of this schedule have been formally approved via e-mail by the following heads of business units.

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

The schedule

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Contents list:							
<ol style="list-style-type: none"> 1. Communications management 2. Policy support and quality control 3. SRA Board and committees management 							
Disposal class number	Function	Activity	Record type/sub-type	Medium/format/storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
1.	Communications management						
1.1		Designing and advising on corporate branding					
1.1.1			Branding guidance Design advice e.g. for advertisements	Paper and electronic (group folder)	Destroy all formats as superseded		
1.2		Handling enquiries from the media or solicitors					

For alternative formats, email contactcentre@sra.org.uk or telephone 0870 606 2555.

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Disposal class number	Function	Activity	Record type/sub-type	Medium/format/storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
1.2.1			Responses Briefing notes	Paper and electronic (group folder)	Destroy all formats 6 years after action completed		
1.2.2			Log of enquiries	Electronic (group folder)	Destroy 3 years after enquiry completed		
1.2.3			Media contact details	Electronic (group folder)	Destroy as superseded		
1.3		Managing internal communications about SRA activities or relating to media coverage					

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Disposal class number	Function	Activity	Record type/sub-type	Medium/format/storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
1.3.1			SRA News Staff updates SRA information update SRA Board decisions update SRA Mediawatch	Electronic (group folder, e-mail, Insight)	Delete e-mails once information communicated Delete from folders 5 years after creation Keep last 12 months of Mediawatch on Insight and electronic copies for 5 years		

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1.4		Managing production of public relations and publicity material, newsletters and publications, including SRA website text					

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1.4.1			Published material: <ul style="list-style-type: none"> • Biographies of senior staff and Board members • Briefings • Official notices • Photographs • Policies • Press releases • Press statements • Reports • Road show documents • Speeches • • Statistics 	Paper and electronic (group folder and website)	Destroy all other formats when reference ceases Disposal of website material managed by TLS web editorial team Destroy after 5 years Destroy after 6 years Destroy as superseded Destroy after 5 years	Corporate Archive Policy version 2.0	

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1.4.2			Library of recorded interviews	Video tapes Audio tapes Hard copy transcripts (no longer produced)	Destroy after 5 years		
2.	Policy support and quality control						
2.1		Analysing and auditing trends in external reports on casework standards (e.g. LSO, LSCC)					

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2.1.1			Audit forms Correspondence Databases of reports Feedback Results sheets Reports on issues arising Reports on lessons learnt	Paper and electronic (group folder)	Destroy all formats 2 years after information collated and reported		Transfer hard copy to Midlands archive store 1 month after closure
2.1.2			LSO reports	Paper and electronic (group folder and HRH database on ROAD)	Destroy all formats when reference ceases		

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2.2		Auditing outsource firms					
2.2.1			Audit forms Tracking documents	Hard copy Electronic (group folder)	Destroy all formats 3 years after audit completed		Transfer hard copy to Midlands archive store 1 month after closure
2.2.2			Audit outcomes Audit reports	Hard copy Electronic (group folder)	Destroy all formats 3 years after audit completed unless used in the course of a fraud investigation in which case destroy 6 years after legal proceedings completed		Transfer hard copy to Midlands archive store 1 month after closure

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2.3		Delegated decision making					
2.3.1			Findings and warnings Findings and Warnings log Letters of advice	Paper and electronic; excel spreadsheet (group folder) Also entered against relevant matter on ROAD	Destroy all formats 6 years after action completed Separate schedule in place for ROAD data		
2.3.2			Insolvency practitioners disciplinary decisions	Paper and electronic (group folder)	Destroy when reference ceases		

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2.4		Providing guidance and training on policy, procedures and practice					

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2.4.1			Published policy documents	Electronic (group folder), website	<p>On publication transfer one copy to the Corporate Archive in Chancery Lane Library for permanent retention</p> <p>Destroy drafts and all other formats when reference ceases</p> <p>Disposal of website material managed by TLS web editorial team</p>	Corporate Archive Policy version 2.0	Permanent retention format/s will have to be discussed with the Library. Currently hard copy is preferred

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2.4.2			Internal policy documents	Electronic (group folder), Insight	Destroy all formats 6 years after policy superseded		
2.4.3			Procedural guidelines and advice e.g. Setting the Standard Bulletin	Electronic (group folder); Insight	Destroy all formats as superseded/ when reference ceases		
2.4.4			Core training programme minutes	Paper and electronic (group folder)	Destroy all formats as superseded		
2.4.5.			Core training programme materials	Paper and electronic (group folder)	Destroy all formats as superseded		

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2.5		Developing and maintaining the corporate framework for risk management and control					
2.5.1			Policy	Paper and electronic	Retain permanently in Corporate Archives at Chancery Lane	Corporate Archive Policy version 2.0	Format and location of items for permanent retention still not agreed
2.5.2			Procedures	Paper and electronic	Destroy 2 years after superseded		
2.5.3			Risk classifications	Paper and electronic	Destroy 2 years after superseded		

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2.6		Risk identification, analysis and action planning					
2.6.1			Corporate risk register	Electronic	Destroy 2 years after superseded		
2.6.2			Action plans	Electronic	Destroy 2 years after superseded		
2.7		Recording and planning responses to external (non-SRA) consultations					
2.7.1.			Spreadsheet of responses	Electronic	Delete after 2 years		

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2.7.2			Policy & Communications responses Copies of other directorate(s) responses Other directorate(s) responses	Paper and Electronic	Delete after 3 years Delete after 3 years Destroy in accordance with the appropriate directorate disposal schedule		
2.8		Recording, planning and monitoring SRA consultations					

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Disposal class number	Function	Activity	Record type/sub-type	Medium/format/storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
			Spreadsheet of consultation information	Electronic	Delete after 2 years		
			Responses	Paper and electronic	Destroy all formats after 6 years		
3.	SRA Board and committees management						
3.1		Board and Committee members appointments					

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Disposal class number	Function	Activity	Record type/sub-type	Medium/format/storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
			Appointments database	Electronic	Delete entry 72 years after date of birth or on date of death whichever is the earlier		
3.2		SRA Board management					

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3.2.1			Approved agenda, minutes and papers	Paper and electronic (group folder), website	Transfer signed minutes, agenda and papers to the Corporate Archives in Chancery Lane for permanent retention Destroy drafts and all other formats when reference ceases Disposal of website material managed by TLS web editorial team	Corporate Archive Policy version 2.0	

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3. 2.2			Schedules of meetings	Paper and electronic	Destroy all formats 1 year after action completed		
3. 2.3			Board members' contact details	Paper and electronic	Destroy as superseded	Data Protection Act 1998	Personal data must be destroyed once no longer needed to conform with the Data Protection Act 1998
3.3		Compliance Committee management					

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3. 3.1			Approved agenda, minutes and papers	Paper and electronic (group folder), website	Transfer signed minutes, agenda and papers to the Corporate Archives in Chancery Lane for permanent retention Destroy drafts and all other formats when reference ceases Disposal of website material managed by TLS web editorial team	Corporate Archive Policy version 2.0	

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3. 3.2			Schedules of meetings	Paper and electronic	Destroy all formats 1 year after action completed		
3. 3.3			Committee members' contact details	Paper and electronic	Destroy as superseded	Data Protection Act 1998	Personal data must be destroyed once no longer needed to conform with the Data Protection Act 1998
3.4		Scrutiny Committee management					

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Disposal class number	Function	Activity	Record type/sub-type	Medium/format/storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
3. 4.1			Approved agenda, minutes and papers	Paper and electronic (group folder); website	Transfer signed minutes, agenda and papers to the Corporate Archives in Chancery Lane for permanent retention Destroy drafts and all other formats when reference ceases Disposal of website material managed by TLS web editorial team	Corporate Archive Policy version 2.0	

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Disposal class number	Function	Activity	Record type/sub-type	Medium/format/storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
3. 4.2			Schedules of meetings	Paper and electronic	Destroy all formats 1 year after action completed		
3. 4.3			Committee members' contact details	Paper and electronic	Destroy as superseded	Data Protection Act 1998	Personal data must be destroyed once no longer needed to conform with the Data Protection Act 1998
3.5		Adjudication Panel casework committees management					

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Disposal class number	Function	Activity	Record type/sub-type	Medium/format/storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
3. 5.1			Case notes Agenda Minutes	Paper and electronic	Destroy all formats 6 years after case closed*		Transfer hard copy file to Midlands archive store 1 month after closure *Need ruling on Reg 56 requirement to keep and make available Adjudication outcome is separately recorded on HRH database

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Disposal class number	Function	Activity	Record type/sub-type	Medium/format/storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
3. 5.2			Schedules of meetings	Paper and electronic	Destroy all formats 1 year after action completed		
3. 5.3			Panel members' contact details	Paper and electronic	Destroy as superseded	Data Protection Act 1998	Personal data must be destroyed once no longer needed to conform with the Data Protection Act 1998
3.6		Joint tribunals management					

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Disposal class number	Function	Activity	Record type/sub-type	Medium/format/storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
3. 6.1			JTT matter files: <ul style="list-style-type: none"> • Award • Correspondence • Decision • Signed agreements • Submissions 	Paper and electronic (group folder); Data also entered into ROAD	Destroy paper files 2 years after action completed Delete e-material from group folder when action completed Separate schedule agreed for ROAD data	Data Protection Act 1998	Personal data e.g. account details must be destroyed once no longer needed to conform with the Data Protection Act 1998