

Records disposal schedule

Records covering all operational functions of Professional Ethics

Professional Ethics

Last updated: 16 May 2007

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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 retention 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

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.

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 detailed guidance on disposal of records in all formats see the records disposal section on Insight.

The provisions of this schedule have been formally approved by Julian Wildsmith, Head of Professional Ethics.

Signed:(Head of Professional Ethics)

Date: 07 April 2006

Disposal schedule

Disposal class number	Function/activity	Record type/sub-type	Medium/format storage location	Period of office retention/transfer to records store	Recommended disposal	Statutory retention requirement or best practice	Notes
1. Policy							
1.1	Policy documentation including:	Policy files: correspondence• drafts information material copies of committee papers	Hard copy	Hold in office store for 20 years after closure	Review 20 years after closure *	Frequent long-term reference use by department	Designated for permanent retention under previous schedule: to discuss with Library Pre-1985 files in records store may be destroyed on review if waivers have been removed

1.2	Committee documentation, including Rules and Ethics Committee, Waivers Appeals Committee and predecessors	Agenda, minutes and papers	Hard copy	Hold in office pending transfer	Transfer hard copy to Corporate Historical Archive as convenient	Law Society General Regulations: Regulation 57	Papers may be alternatively accepted in electronic format (other than signed minutes) Tabled papers should also be included
2 Guidance							
2.1	Guidance files including:	Guidance files which may raise issues of precedent or public importance ("red dot" files) Guidance files other than "red dot" files	Hard copy Hard copy Electronic	Hold in office for 2 years after closure and then transfer to records store Hold in office for 2 years after closure and then transfer to records store	Destroy 20 years after closure Destroy 6 years after closure Delete as convenient e.g. 1 year after closure.		
2.2	Waivers including:	Waivers files	Hard copy	Hold in office for 2 years after closure and then transfer to the records	Destroy 72 years after closure		Hard copy file used for long term reference

			Electronic	store. Delete as convenient e.g. 1 year after closure			
2.3		Dispensations authorities (accountants' reports)	Hard copy Electronic	Hold in office for 2 years after closure and then transfer to records store	Destroy 72 years after closure Delete as convenient e.g. 1 year after closure		Hard copy file used for long-term reference
2.4	Precedents, including:	Working files	Hard copy Electronic	Hold in office pending destruction	Destroy 1 year after closure Delete as convenient e.g. 1 year after closure		
2.5	Guidance publications, including:	Guide to the Professional Conduct of Solicitors	Master copy	Hold in office pending transfer	Transfer 1 copy of each updated version to Corporate Historical Archive as convenient	Policy for archiving corporate documents	

			Other copies		Destroy when no longer needed		
			Drafts		Destroy/delete 3 months after latest version published		