

Records disposal schedule

Client Protection Directorate

Statutory Trusts Project

Last updated: 23 February 2009

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Disposal of records

There are only two ways to dispose of records:

1. Destroy them when their business, regulatory or reference value has expired *or*
2. Keep them permanently as part of the corporate memory.

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 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 Chris Ramsey, Head of the Statutory Trust project.

Signed...Approved by e-mail

Date...23 February 2009

The schedule

Client Protection Directorate – Statutory Trusts Project (last updated 23 February 2009) version 1.0 records covering accounting for all monies relating to an intervention and returning monies vested in the SRA upon intervention – legacy Statutory Trust Accounts – to those beneficially entitled to it.

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

Contents list:

1. Claims assessment and verification
2. Making payments to beneficiaries

Disposal class number	Function	Activity	Record type/ sub-type	Medium/format/ storage location	Recommended disposal	Statutory retention requirement or best practice	Notes
1.	Claims assessment and verification						
1.1		Managing client monies following an intervention					

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

1.1.1			Statutory Trust file for each intervened firm: <ul style="list-style-type: none"> • Documentation from e.g. Interventions, Cost Recovery, Compensation Fund, Forensic Investigations • Accounts data 	Hardcopy file and partial electronic record in group folder	Transfer hard copy file to Midlands archives store 1-3 months after action completed Destroy all formats in line with related intervention (INT matter) file i.e. 6 years after all monies returned	May contain personal data; must be stored securely and destroyed when no longer needed to conform to the Data Protection Act 1998	Data also forwarded to Claims Management for inclusion in CFR matter files
1.2		Assessing individual claims and enquiries					

1.2.1			Intermediate file containing background data held until casework begins: "yellow folder"	Hardcopy file and partial electronic record in group folder	Transfer hard copy file to Midlands archives store until casework begins, then pass to caseworker	May contain personal data; must be stored securely and destroyed when no longer needed to conform to the Data Protection Act 1998	
1.2.2			Caseworking files in relation to a particular client: "purple" files – claims pre Statutory Trust being distributed as a whole	Hardcopy file and partial electronic record in group folder	Transfer hard copy file to Midlands archives store 1-3 months after action completed Destroy 6 years after intervention completed	May contain personal data; must be stored securely and destroyed when no longer needed to conform to the Data Protection Act 1998	

1.2.3			Individual claims assessment files: "yellow" files – claims at time of, or post distribution, of Statutory Trust as a whole	Hardcopy file and partial electronic record in group folder	Transfer hard copy file to Midlands archives store 1-3 months after action completed Destroy in line with related intervention (INT matter) file i.e. 6 years after all monies returned	May contain personal data; must be stored securely and destroyed when no longer needed to conform to the Data Protection Act 1998	No time limit on claims but unlikely to be made more than 6 years after case closure
1.2.4			Uplifted records from intervened solicitors, including client files	Hard copy/electronic? Some may be photocopied (or scanned?)	Return to/pass to* Intervention Archives when investigation completed; destroy any copies in line with relevant case file	May contain personal data; must be stored securely and destroyed when no longer needed to conform to the Data Protection Act 1998	*Occasionally case workers may locate client files which have not come from Intervention Archives

1.2.5			Submissions to adjudicator: panel minute	Hard copy and electronic: group folder	Destroy in line with relevant case file		Copies also included in CFC and INT matters Panel minute included in adjudication outcome which is designated to be retained permanently in HRH (or successor database)
1.2.6			Alphabetical file of every adjudication	Hard copy	Retain permanently for reference purposes		
1.3		Tracking claims and enquiries					
1.3.1			Log of potential claimants for an intervened firm	Electronic: Access database	Destroy 3 years after all claimants cases' closed		

1.3.2			Progress log of claims and enquiries	Electronic: Access database	Destroy 3 years after case closed		
1.3.3			Log of claimants' client files	Electronic: Access database	Destroy 3 years after case closed/files returned to claimant		
1.3.4			Log of distribution proposals sent to adjudicator	Electronic: Access database	Destroy 3 years after case closed		
2.	Making payments to beneficiaries						
2.1		Trust funds distribution					

2.1.1			<p>Summary templates for interventions including cash accounts</p> <p>Individual claims reports</p> <p>Best lists of potential beneficiaries</p> <p>Distribution proposal reports</p> <p>Register of payments</p> <p>Bank statements</p> <p>Transfer requisitions</p>	Hard copy documentation added to case file	Destroy in line with case file	May contain personal data; must be stored securely and destroyed when no longer needed to conform to the Data Protection Act 1998	Shared with Group Finance
2.1.2			Log of payments	<p>Electronic: excel spreadsheet</p> <p>Hard copy ledger (discontinued)</p>	Destroy once case closed		Record of payments held by Group Finance

2.1.3			Statistical returns relating to claims and payments	Electronic: group folder Data extracted from access database	Destroy as convenient as per General records disposal schedule s.9		
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