

| J. LEGAL  |  |  |   |  |  |                        |  |
|-----------|--|--|---|--|--|------------------------|--|
| Reference | Activity / Records Series  | Description / Example Record Types   | Trigger - event that prompts start of retention period            | Retention Period   | Disposal Action  | Authority              | Citation / Notes   |
| <b>1</b>  | <b>Provision of legal Advice</b>   |  |   |  |  |                        |  |
| 1.1       | Provision of ad-hoc general legal advice (no separate case file opened)                                | Electronic General advice file   | End of calendar year  | 5 years  | Confidential Destruction   | Regulatory requirement | Law Society Guidelines (other correspondence file)<br>The file will be closed at the end of the calendar year. |
| 1.2       | Provision of legal advice (separate case file opened)  | Electronic and Paper Case files such as the following: Housing Management, Policy, Corporate support/projects, Group customer service initiatives, information management, information requests, data protection.  | Date file closed  | 10 years   | Confidential Destruction   | Regulatory requirement | Law Society Guidelines (other correspondence file)   |
| <b>2</b>  | <b>Provision of legal advice:Litigation</b>  |  |   |  |  |                        |  |
| 2.1       | Civil Court Actions (All papers relating to court case including all file papers and any productions.) | Electronic and Paper Case Files such as the following: Anti-Social behaviour, Rent Arrears, Recovery of SST, Unsecured debt, Reparation, Specific Implement, Refusal of succession, recovery of SSST, Action of Interdict/Interlocutor, Action for non-occupation, abandonment, Lands Tribunal, Home Owners Housing Panel, Judicial Review | Date of completion of court action .....<br>Precedent established | 10 Years .....<br>Review annually for historical value/precedent | Review for historical value/precedent otherwise confidential destruction | Regulatory requirement | Law Society Guidelines (civil court cases)   |
| 2.2       | Commercial/Company Court actions   | Electronic and Paper Case Files such as procurement, intellectual property and breach of contract  | Date of completion of court action .....<br>Precedent established | 10 Years .....<br>Review annually for historical value/precedent | Review for historical value/precedent otherwise confidential destruction | Regulatory requirement | Law Society Guidelines (civil court cases)   |

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| 2.3      | Debt recovery                                 | Simple debt collection actions (undefended) where court action dismissed  | Date of court action if dismissed  | 10 year  | Confidential Destruction   | Regulatory requirement | Law Society Guidelines  |
| 2.4      | Debt recovery                                 | Simple debt collection actions (undefended) where payment in full of any decree   | Date of payment in full of any decree (last instalment of payment plan). | 10 years | Confidential Destruction   | Regulatory requirement | Law Society Guidelines  |
| 2.5      | Decrees                                       |   | Date of implementation in full   | 10 years | Confidential Destruction   | Regulatory requirement | Law Society Guidelines  |
| 2.6      | Caveats                                       | Electronic caveat file for each subsidiary  | Date of expiry   | 5 years  | Confidential Destruction   | Regulatory requirement | Law Society Guidelines (other correspondence file)            |
| 2.7      | Court diary                                   |   | Date superseded  | Nil      | Confidential Destruction   | Business requirement   |   |
| <b>3</b> | <b>Provision of legal advice: Commercial</b>  |   |  |          |  |                        |   |
| 3.1      | Commercial                                    | Case files such as the following: Development/special projects, Partnerships, Asset Management, Energy, intellectual property, negotiation of building contracts, collateral warranties and performance securities. | Date file closed   | 10 years | Confidential Destruction   | Regulatory requirement | Law Society Guidelines (other correspondence file)            |
| <b>4</b> | <b>Provision of legal advice: Real Estate</b> |   |  |          |  |                        |   |
| 4.1      | Acquisitions                                  | Electronic and Paper Case files such as the following: purchases of real estate including mortgage to rent and buy-backs from owners, leases where acquiring tenant's interest.                                     | Date file closed   | 10 years | Confidential Destruction (unless unusually complicated then retain until property disposed of) | Regulatory requirement | Law Society Guidelines (Conveyancing Transactions - Purchase) |

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| 4.2      | Disposals   | Electronic and Paper Case files such as the following: RTB sales (completed), miscellaneous sales of land, excambions, commercial leases, intra-group leases of residential property, non-standard leases of residential property, servitudes/wayleaves, standard securities, Deeds of Real Burdens and Minutes of Agreement. | Date file closed                           | 10 years   | Confidential destruction  | Regulatory requirement | Law Society Guidelines   |
| 4.3      | Disposals   | Cancelled or Refused RTBs   | Date file closed                           | 6 months   | Confidential destruction  | Business requirement   | Law Society Guidelines   |
| <b>5</b> | <b>Title Deeds</b>  |   |  |  |   |                        |  |
| 5.1      | Land Certificates/Title Sheets  | Land Certificates/Title Sheets  | Once reference has ceased                  | Nil  | Confidential destruction  | Business requirement   | These records are only held for reference purposes during a transaction and should not be retained in a Deeds Store.   |
| 5.2      | Discount Charge Certificates (RTB)  | Discount Charge Certificates  | Upon expiry of discount                    | Nil  | Confidential destruction  | Business requirement   |  |
| 5.3      | Deeds recorded in the Register of Sasines                                 | Deeds recorded in the Register of Sasines   | Upon completion of transaction             | Until (a) disposal of property or (b) until first registration is triggered. | In respect of (a) pass deeds to acquirers or (b) submission to Land Register of Scotland. | Business requirement   | In respect of (b), a copy should be retained for reference purposes prior to submission of deed for first registration. This copy should be destroyed when the title sheet is updated. |
| 5.4      | Leases (both registered and unregistered in Books of Council and Session) | This includes extract leases and assignations of lease  | Upon termination of lease period (the ish) | Until (a) disposal of property or (b) until expiry of deed.                  | In respect of (a) pass deeds to acquirers or (b) confidential destruction                 | Business requirement   |  |
| <b>6</b> | <b>Provision of legal advice: Information Governance</b>                  |   |  |  |   |                        |  |
| 6.1      | Provision of ad-hoc general legal advice (no separate case file opened)   | Electronic General advice file including section 29 and 35 requests.  | End of calendar year                       | 5 years  | Confidential Destruction  | Regulatory requirement | Law Society Guidelines (other correspondence file)   |

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| 6.2      | Provision of legal advice (separate case file opened) | Electronic and Paper Case files such as the following: Policy, Corporate support/projects, Group customer service initiatives, information management, data breach investigations, DP audit, general compliance | Date file closed  | 10 years  | Confidential Destruction                                  | Regulatory requirement                                    | Law Society Guidelines (other correspondence file) |
| <b>7</b> | <b>Provision of Training</b>                          |   |   |   |   |   |  |
| 7.1      | Training material for Legal courses                   | Training material   | Cross Reference to Management Retention Schedule: row 7.1 | Cross Reference to Management Retention Schedule: row 7.1 | Cross Reference to Management Retention Schedule: row 7.1 | Cross Reference to Management Retention Schedule: row 7.1 |  |
| <b>8</b> | <b>General Administration</b>                         |   |   |   |   |   |  |
| 8.1      | Mail processing                                       | Cross Reference to Management Retention Schedule: Section 1.2   | Cross Reference to Management Retention Schedule: row 1.2 | Cross Reference to Management Retention Schedule: row 1.2 | Cross Reference to Management Retention Schedule: row 1.2 | Cross Reference to Management Retention Schedule: row 1.2 |  |