SLCC RECORDS MANAGEMENT POLICY V01.05

Table of Contents

1 Overview

1.1 This records Management Policy document gives a summary of how the SLCC creates and manages records (in paper and electronic formats). For a full understanding of our records management arrangements, this policy should be read in conjunction with OM015 the Records Management Plan and OM006 Document Retention and Destruction Policy. Additional information about data breach management and IT security can be found in the policies and procedures folder on the shared G drive network or see Section 7 of this policy for further details.

2 Why is Records Management Important?

2.1 Information is a corporate asset and the records of the SLCC are important sources of client and practitioner information in relation to complaints handling, legal business, the administration of justice and the history and course of legal disputes. They are vital to the organisation in its current and future work, for the purposes of fulfilling its statutory role as well as accountability. Records are the corporate memory of the organisation and clear and systematic records keeping is fundamental to our organisational efficiency.

2.2 Hybrid working practices mean that it is particularly important that all records are managed in accordance with SLCC rules.

3 Statement

3.1 The overall approach to records management aims that each record created is present, accessible, can be interpreted, can be trusted, is securely stored, is maintained over time, is retained for as long as is appropriate and eventually destroyed in line with our retention and destruction policy. Good records management allows us to follow this record lifecycle from creation to destruction in a systematic way. The SLCC acknowledges that it is vital that records are created, maintained and destroyed in line with statutory guidance and that without accurate records, we cannot perform our role. All members of the organisation play a part in managing our records and this policy sets out our overall corporate approach.

4 Monitoring and Review

4.1 The records management plan and all policies and procedures relating to it are reviewed every two years to ensure that they are fit for purpose and that they reflect current working practices. We also conduct internal reviews of different aspects of our records management procedures on a bi-annual basis by involving staff from different teams in a records management review group and by working with our internal auditors. All staff are asked on a quarterly basis, to take time to review their records and file or delete/destroy them as appropriate.

5 Training and Guidance

5.1 All staff are asked to complete mandatory induction training and annual refresher training on Data Protection and refresher training and updates are given on IT security procedures, data protection and the General Data Protection Regulation, appropriate use of the shared network and file saving conventions.

5.2 If you need any guidance on records management, see your line manager or our Records Manager, Louise Burnett

6 Our Roles

6.1 Each individual member of staff

All members of staff have a role to play in the management of records. All staff of the SLCC who create, use, manage or dispose of records have a duty to protect them and to ensure that any information that they add to the record is necessary, accurate and complete.

- The confidentiality and security of SLCC records must always be of primary concern
- Use information wisely – consider is it relevant and necessary
- Keep Newpro records accurate and up to date - individuals are responsible for the records that they create
- Follow SLCC guidance on physical and electronic file storage
- Undertake annual training and seek help if they need guidance on records management issues
- Set aside time weekly and monthly to check records you control, and to file and archive material no longer needed.

6.2   The Management Team

In addition to their roles as individuals, the Management Team is also responsible for:
- Taking an active role in the Records Management Review Group and bi-annual audits as necessary
- Demonstrating commitment to excellent records management and promoting good record keeping practices amongst their teams
- Giving guidance to their teams on records management
- Taking appropriate action if a member of their team is not adhering to the SLCC standards of records management
- Ensuring that records management is embedded in job descriptions, appraisals, other policies etc

6.3   The Records Manager

The Records Manager has overall day-to-day responsibility for records management at the SLCC

- Responsible for the implementation of the Records Management policy, plan and subsequent procedures
- Responsible for reporting to the National Records of Scotland (NRS) in line with the Public Records (Scotland) Act 2011
- Reporting to the SLCC Audit Committee on matters relating to records management

6.4   The Chief Executive Officer

The CEO has overall strategic accountability for records management.

6.5   Website Hosting Company

The company hosting the website and the online complaint form are responsible for ensuring that all online complaint forms retained for 90 days, whether submitted or not and then deleted from their systems.

7   Our Policies

7.1   The main SLCC policies and procedures regarding records management are:

- OM006 Document Retention and Destruction Policy
- OM013 IT Security Policy
- OM015 Records Management Plan

- OM018 SLCC Data Policy

- COM009 Information Security Statement

- COM013 SLCC Data Breach Security Incident Policy and Procedure

- GOV013 Writing, Amending and Reviewing Policy and Process Documents

You can access the current version of each policy or procedures document at **G:\Policies and Procedures**