



RECORDS MANAGEMENT POLICY

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☒ 0141 270 7030

☒ info@sccrc.org.uk

1.0 Policy statement

1.1 The Scottish Criminal Cases Review Commission (“the Commission”) creates, receives and maintains records in pursuance of its statutory functions. The Commission recognises that those records need to be accurate, reliable and secure, and managed and disposed of appropriately, in order that the Commission meets the relevant statutory, regulatory, administrative and accountability requirements. It recognises, too, that systematic records management is fundamental to its efficient operation. To those ends, the Commission is committed to providing sufficient staffing, technical and organisational resources to ensure that the requirements of records management can be achieved and maintained.

2.0 Purpose

2.1 This policy sets out specific responsibilities which are allocated in relation to the Commission’s records management practices, and it ensures that all Board Members and employees understand their responsibilities in relation to the records they produce and handle.

3.0 Policy authorisation

3.1 The Board of the Commission approved this policy on 16 August 2013.

4.0 Related policies

4.1 This policy must be read in conjunction with the Commission's records management plan (RMP),¹ its data protection policy, its data retention policy, its disclosure policy and its case handling procedures.

5.0 Definitions

5.1 The terms used in this policy are defined in the glossary of terms attached to the RMP.

6.0 Scope

6.1 This policy applies to all the Commission's records, irrespective of the technology used to create and store them. Records include the following:

- Documents (including written, typed or annotated copies)
- Paper files
- Electronic files (including word-processed documents, databases, spreadsheets and presentations) including files held on disks, CDs or pen-drives
- Emails
- Internet pages
- Faxes
- Photographs
- Brochures and reports

7.0 Statutory environment

7.1 This policy complies with the following Acts and Code of Practice:

- Criminal Procedure (Scotland) Act 1995, s194
- Data Protection Act 1998
- Human Rights Act 1998
- Freedom of Information (Scotland) Act 2002 (FOISA)
- Code of Practice on Records Management published under s61 of FOISA

8.0 Responsibilities

8.1 Everyone at the Commission – Board Members and employees (whether permanent or temporary employees or secondees) – is responsible for ensuring that the records he or she creates or maintains comply with this policy.

¹ The Commission's records management plan, as required by the Public Records (Scotland) Act 2011, was agreed on 30 April 2014 by the Keeper of the Records of Scotland.

Records Manager

8.2 The Records Manager (as designed in the RMP) has the following specific responsibilities:

- Monitoring the proper functioning of this policy and records management procedures
- Developing records management procedures so that they stay in line with this policy and developments in best practice
- Promoting compliance with this policy and providing guidance to staff
- Identifying staff training needs and arranging for those needs to be addressed
- Ensuring that, where necessary, staff have appropriate security clearance to do their jobs effectively
- Overseeing the application of retention schedules and providing input into their development
- Undertaking management and statistical reporting
- Ensuring that records are held in appropriately secure conditions, depending on their classification
- Ensuring that the appropriate resources are dedicated to the above

The legal officers and administrative staff

8.3 The legal officers and administrative staff have the following specific responsibilities:

- Following this policy and the records management procedures
- Providing constructive input to enable the improvement of procedures
- Ensuring that records are accurate and organised
- Ensuring that they follow closure and disposal procedures as set out in the case handling procedures
- Filing items promptly and accurately
- Identifying final versions
- Ensuring that information is sent to the relevant people
- Ensuring that records can be accessed as needed

9.0 Records creation

9.1 Records will be created in a manner which is appropriate to the Commission's statutory functions and according to Commission procedures.

10.0 Records management

10.1 Storage conditions and security measures will ensure that records are protected from unauthorised access, loss or destruction, and from theft and disaster. Records will be stored on media that ensure their usability, reliability, authenticity and preservation for as long as they are needed. Systems for storing electronic records will be designed so that records are accessible, authentic, reliable and useable through any kind of system change for as long as they are needed.

10.2 Records will be stored and managed in line with the Commission's business classification scheme, in order that they are accessible and protected appropriately. Records must not be moved outwith the classification determining their storage without authorisation. Electronic records must not be kept on personal drives.

11.0 Records disposal

11.1 Disposal is the physical destruction or deletion of the records, or the transfer of the records to an appropriate storage area, or the transfer of the records to an external archive (such as the National Records of Scotland).

11.2 Records will be disposed of according to the Commission's retention schedules (as set out in its data retention policy). Records must not be destroyed earlier than the date stipulated in the retention schedules; they should not be kept longer than the date stipulated in the retention schedules. Records are reviewed biannually to identify which records are due for disposal.

11.3 The Records Manager has responsibility for overseeing the destruction of case-related records. The DOCS has responsibility for overseeing the destruction of non-case-related records.

12.0 Review

12.1 This policy, and the associated RMP, will be reviewed annually by the Records Manager.

Date approved	16 August 2013
Date of last review	March 2019
Date of next review	March 2020