



## RECORDS MANAGEMENT POLICY

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Tel: 0141 270 7030

[info@sccrc.org.uk](mailto:info@sccrc.org.uk)

### 1.0 Policy statement

- 1.1 The Scottish Criminal Cases Review 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.
- 1.2 The Commission recognises, too, that systematic records management is fundamental to its efficient operation. To those ends, the Commission is committed to providing sufficient staffing and technical and organisational resources to make sure 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 informs Board Members and staff about their responsibilities in relation to the records that they produce and handle.

### 3.0 Policy authorisation

- 3.1 The Board of the Commission approved this version of this policy in February 2021.

## 4.0 Related policies

4.1 This policy must be read in conjunction with the Commission's records management plan (RMP), 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 and spreadsheets)
- 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, s194A–L
- UK General Data Protection Regulation
- Data Protection Act 2018
- Freedom of Information (Scotland) Act 2002 (FOISA)

## 8.0 Responsibilities

8.1 Board Members and staff are responsible for making sure that the records they create and maintain comply with this policy.

### 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
- Promoting compliance with this policy and providing guidance to staff

- Identifying staff training needs and arranging for those needs to be addressed
- Making sure that, where necessary, staff have the 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
- Making sure that records are held in appropriately secure conditions, depending on their classification

### The legal officers and other staff

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

- Following this policy and the records management procedures
- Providing input to facilitate the improvement of procedures
- Making sure that records are accurate and organised
- Making sure that they follow closure and disposal procedures as set out in the case handling procedures
- Filing items promptly and accurately
- Identifying final versions
- Making sure that information is sent to the relevant people
- Making sure 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 make sure 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 (BCS), in order that they are accessible and protected appropriately. Records must not be moved outwith the classification determining their storage without authorisation.

10.3 Electronic records, with the following exception, must not be kept on personal drives: where staff are working from home, the information is held electronically, on a password-protected device and in an encrypted environment, on a personal drive. Staff must transfer the information held in such circumstances to the Commission’s new Electronic Document and Records Management System (EDRMS), “Visual Files”, or the appropriate network drive, as soon as it is practicable to do so, in line with the Commission’s case handling procedures.

## 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 Commission’s Director of Corporate Services has responsibility for overseeing the destruction of non-case-related records.

## 12.0 Review

12.1 This policy should be reviewed annually.

Date first approved	16 August 2013
Date of this review	26 February 2021
Date of next review	25 February 2022