



# Records Management Plan

February 2021

The Scottish Legal Aid Board

[www.slab.org.uk](http://www.slab.org.uk)

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## Background

The Public Records (Scotland) Act 2011 came fully into force in January 2013. The Act obliges the Scottish Legal Aid Board (“SLAB”) and other public authorities to prepare and implement a records management plan (RMP).

The RMP sets out proper arrangements for the management of records within SLAB. Procedures will aim to ensure that all employees, contractors, agents, consultants and other trusted third parties who have access to any information held by or on behalf of SLAB, are fully aware of and abide by their duties under the Act. The plan is agreed with the Keeper of the Records of Scotland (the Keeper) and reviewed by SLAB on an annual basis. SLAB’s Records Management Plan is based on the Keeper’s published Model Records Plan. The model plan has 15 Elements, which are:

1. Senior management responsibility
2. Records manager responsibility
3. Records management policy statement
4. Business classification
5. Retention schedules
6. Destruction arrangements
7. Archiving and transfer arrangements
8. Information security
9. Data protection
10. Business continuity and vital records
11. Audit trail
12. Records management training for staff
13. Assessment and review
14. Shared information
15. Public records created by third parties.

SLAB has provided the Keeper with evidence of policies, procedures, guidance and operational activity on all elements of the plan.

This encompasses records throughout their lifecycle, from creation and acquisition to archive and destruction. It encompasses all records across all areas of the organisation.

## Records management in SLAB

The records of SLAB constitute an auditable account of the organisations activities, which provides evidence of the business, actions, decisions and resulting policies formed by SLAB.

Records represent a vital asset, which support the daily functions of SLAB and protect the interests and rights of staff, and customers, who have dealings with SLAB. Effective record keeping supports efficiency, consistency and continuity of work and enables SLAB to deliver a wide range of services. It ensures that the correct information is: captured, stored, maintained, retrieved and destroyed or preserved in accordance with business need, statutory and legislative requirements.

## Records management principals

The following principles will drive all activities relating to records management:

- Records are a **valuable resource** and must be managed as such
- Records are maintained in accordance with **legislation**
- Records are **shared** and **not duplicated**
- Records are stored in a **consistent** manner that reflects SLAB's functions
- Records are appropriately **secured**
- Records are easily **accessible** for as long as they are required
- Records that are identified as **vital** are **protected**
- Records that are identified as of **historical significance** are **preserved**
- Records are **disposed of** in accordance with approved Records Retention Schedules
- Records management procedures are understood by all staff and staff are **appropriately trained**
- Records management is a **responsibility** of all staff
- Records management practices **adhere to corporate policy, procedures and standards**
- Records keeping systems are compliant with the requirements to **manage records throughout their lifecycle.**

RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 1: Senior management responsibility</b></p> <p><i>Identify an individual at senior level who has overall strategic accountability for records management.</i></p> <p>Element 1 of the RMP is a mandatory element that requires the Council to identify a person at senior level who has overall strategic responsibility for records management.</p> <p>The RMP must provide the name and job title of the person who accepts overall responsibility for the RMP that has been submitted.</p>	<p>Graeme Hill Director of Corporate Services and Accounts is SIRO for the organisation. He has senior responsibility for all aspects of Records Management, and is the corporate owner of this document.</p> <p>Graeme Hill chairs the Information Governance Steering Group. This has temporarily been renamed as the Delivery of the Records Management Plan Project Board. This will revert back to the Information Governance Steering Group once the Records Management Plan has been submitted and approved.</p>	<p>E01-01 Records Management Policy</p> <p>E1-02 Snr Manager and Staff Responsibilities statement</p>	<p>None.</p>
RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 2: Records manager responsibility</b></p> <p><i>Identify individual within the authority, answerable to senior management, to have day-to-day operational responsibility for records management within the authority.</i></p> <p>Element 2 of the RMP is a mandatory element that requires SLAB to identify the individual responsible for ensuring the authority complies with its plan. An authority's RMP must name and provide the job title of the person responsible for the day-to-day operation of activities described in the elements in the authority's RMP. This person should be the Keeper's initial point of contact for records management issues. It is essential that an individual has overall day-to-day responsibility for the implementation of an authority's RMP.</p>	<p>Our existing Records Management Policies have Christine Connerton, Records Management Specialist as having day to day operational responsibility for Records Management.</p> <p>Christine reports to Graeme Hill.</p> <p>Christine is a member of the Information and Records Management Society (IRMS).</p> <p>Any actions recorded in the future developments section will be taken forward by Christine.</p>	<p>E02-01 Records Management Specialist job Description</p> <p>E02-02 Evidence of Training &amp; Personal Development</p> <p>E02-03 Confirmation of IRMS Registration</p> <p>E02-04</p>	<p>None.</p>

		Notification to staff Records Management Specialist	
		E01-01 Records Management policy (see Element 1)	
RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 3 Records management policy statement</b></p> <p><i>A records management policy statement underpins effective management of an authority's records and information. It demonstrates to employees and stakeholders that managing records is important to the authority and serves as a mandate for the activities of the records manager.</i></p> <p>Element 3 of the RMP is a mandatory element that requires SLAB to include a records management policy statement that demonstrates the importance of managing records and underpins the effective management of SLAB's records and information.</p> <p>The policy statement should describe how the authority creates and manages authentic, reliable and useable records, capable of supporting business functions and activities for as long as they are required.</p> <p>The policy statement should be made available to all staff, at all levels in the authority.</p>	<p>SLAB is committed to establishing and maintaining good record keeping practices which meet business needs, comply with legal, statutory and regulatory obligations and demonstrate transparency and accountability to all its stakeholders.</p> <p>SLAB's commitment to effective records management is set out in Records Management Policy, procedures and guidance.</p> <p>The policy along with the procedures and guidance are available to all staff.</p> <p>This is supported by online training and reminder articles within SLAB's internal website.</p>	<p>E03-01 Records Management Guidance</p> <p>E03-02 Corporate Induction Timetable Outline</p> <p>E03-03 Role of Information Asset Owner - A Practical Guide</p> <p>E03-04 Extract of Board Minute 4 May 2020</p> <p>E03-05 Staff training -</p>	<p>Review Policy annually and as required to ensure it remains up-to-date.</p>

		Introduction to Records Management  E01-01 Records Management Policy (see Element 1)	
RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 4: Business classification</b></p> <p><i>A business classification scheme describes what business activities the authority undertakes - whether alone or in partnership.</i></p> <p>Element 4 covers business classification. A business classification scheme describes what business activities the authority undertakes. Under this element the Keeper expects SLAB to have properly considered its business functions and reflect these within a business classification scheme.</p> <p>A business classification scheme usually takes the form of a hierarchical model or structure diagram. It records, at a given point in time, the informational assets the business creates and maintains, and in which function or service area they are held. As authorities change the scheme should be regularly reviewed and updated.</p> <p>A business classification scheme allows an authority to map its functions and provides a structure for operating a disposal schedule effectively.</p>	<p>SLAB operates a hybrid public records system with records held both digitally and in paper format.</p> <p>SLAB is in the process of developing a Business Classification Scheme covering all business functions, activities and transactions. This new structure is currently being refined. This structure will ensure that records are stored in a consistent manner, thereby making it easy for staff to quickly retrieve information, work effectively and efficiently and meet our statutory obligations in The Public Records (Scotland) Act 2011. The new Business Classification will take SLAB a step closer to our plan of implementing SharePoint.</p> <p>To increase our awareness of the records management functionality of Office 365 we have engaged with the National Records of Scotland. The records management specialist has signed up to the KHub and joined the PRSA forum. The Records Management Specialist also attended webinars held by IRMS on 11</p>	<p>E04-01 Delivery of Records Management Plan - Block Plan</p> <p>E04-02 Delivery of Records Management Plan Minute 6 April 2020</p> <p>E04-03 Business Classification</p> <p>E03-01 Records Management Guidance (see element 3)</p> <p>E04-04 List of</p>	<p>Continue to refine Business Classification Scheme.</p>

	<p>June 2020 and 3 September 2020.</p> <p>SLAB has adopted an open policy within the Records Management structure. Secure access is only permitted for items of a confidential/sensitive nature which allows information to be shared more effectively and is more easily accessible for everyone where appropriate. The majority of records received in paper format are scanned onto our various electronic databases and network drives within 24 hours of receipt.</p> <p>All our public records are now held digitally. We do however, still hold paper records relating to legal aid accounts and CLAO/PDSO client case files offsite. These paper records are sent to our external storage contractor (Iron Mountain). A register is kept of the records held externally. When these records reach the end of their lifecycle the box is recalled and the records confidentially destroyed on site.</p> <p>An IAO has been appointed for each business area within the organisation. The IAO is responsible for managing the records within their area, Part of their role is to review their department's retention schedules and identify information assets. The names of all the information asset owners is published on our intranet.</p>	<p>information asset owners</p>	
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RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 5: Retention schedules</b></p> <p><i>A retention schedule is a list of records for which pre-determined disposal dates have been established.</i></p> <p>Element 5 covers retention schedules. A retention schedule is a list of records for which pre-determined disposal dates have been established. A retention schedule is an important tool for proper records management.</p> <p>Under this element SLAB must demonstrate the existence of and adherence to corporate records retention procedures that are followed to ensure records are routinely assigned disposal dates, that they are subsequently destroyed by a secure mechanism (see element 6) at the appropriate time, or preserved permanently by transfer to an approved repository or digital preservation programme (See element 7).</p>	<p>SLAB have adopted the National Archives model for the Records Retention Schedule and have combined this with the Information Asset Register. The combined schedules are endorsed by each Information Asset Owner (IAO) and applied to both electronic records and paper records. The combined schedules have been created to show the nature and lifespan of records created within SLAB. These schedules relate to both case related and non-case related records.</p> <p>The schedules were recently comprehensively reviewed, and formatted to achieve a standardisation of information across the organisation. As part of the review, guidance was issued to assist IAO's with the completion of the combined schedules.</p> <p>As part of preparation for migration to O365 reports were generated reports that provided us with a detailed view of the records held by each department.</p> <p>These reports were reviewed in conjunction with the retention schedules to ensure that all records were accounted for. Having carried out this exercise we have a high confidence level that all records are recorded on the retention schedules. We plan to repeat this process on bi-annual basis</p>	<p>E05-01 Completion of Retention Schedule Guidance</p> <p>E05-02 Accounts Combined Retention Schedule</p> <p>E05-03 Civil Finance Combined Retention Schedule</p> <p>E05-04 Facilities and Estates Combined Retention Schedule</p> <p>E05-05 HR Combined Retention Schedule</p> <p>E05-06 I.S Combined Retention Schedule</p>	<p>Continue to work with IAO's to ensure consistency of details entered on retention schedules.</p> <p>Implementation of SharePoint which will make it easier to apply retention periods to unstructured data.</p> <p>Work to commence on structuring and reducing information stored in email.</p>

	<p>to ensure that the retention schedules maintain an accurate reflection of records kept.</p> <p>The combined schedule is a tool that is used to record all information of value held by the Scottish Legal Aid Board. It will record the type and format of information held, which IAO is responsible for it, its value to the organisation and who uses it. These schedules are reviewed bi-annually.</p> <p>In addition to the combined schedule, SLAB has records management procedures and guidance, offering practical guidance to staff on the creation, use, management and disposal of records. We are actively engaging with IAO's and all staff throughout the organisation to promote and support a regular review of retention schedules. We have introduced forms that IAO's have to complete as part of their bi-annual review of their departments retention schedules.</p>	<p>E05-07 IAO and Records Management Presentation</p> <p>E05-08 Intranet article - Records Management Review of records against retention schedules</p> <p>E05-09 Nil return form</p>	
RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 6: Destruction arrangements</b></p> <p><i>It is not always cost-effective or practical for an authority to securely destroy records in-house. Many authorities engage a contractor to destroy records and ensure the process is supervised and documented.</i></p> <p>Element 6 is a mandatory element, which covers destruction arrangements. Section 1(2)(b)(iii) of the Act</p>	<p>All paper records are subject to secure disposal using a third party supplier. The contract with the supplier details ISO accreditation, insurance certificate and employers' liability. The supplier disposes of confidential documents on site.</p> <p>Paper records held with our offsite storage contractor (Iron Mountain) are recalled at</p>	<p>E06-01 Records Management Confidential Destruction Guidance</p> <p>E06-02 Records Disposal Form Compliance dept.</p>	<p>None.</p>

<p>requires a RMP to include provision about the archiving and destruction, or other disposal, of an authority's public records and to demonstrate that proper destruction arrangements are in place.</p>	<p>the end of their retention period and reviewed before being disposed of on site by our third party supplier.</p> <p>All IT equipment is wiped and a contract is in place for all hard disks to be removed and destroyed. Destruction of IT hardware, is carried out by an external supplier.</p> <p>All CCTV footage and call recordings are held in accordance with our retention schedules then recorded over.</p>	<p>E06-03 Records Disposal Form BERU</p> <p>E06-04 Records Disposal Form IS Dept.</p> <p>E06-05 Shred-it Security Info document</p> <p>E06-06 Evidence of disposal - IS Equipment</p> <p>E06-07 Evidence of disposal - Paper</p> <p>E06-08 Details of SLAB Back-up tape retention</p> <p>E03-05 Staff training Introduction to Records Management (See Element 3)</p>	
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RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 7: Archiving and transfer arrangements</b></p> <p><i>This is the mechanism by which an authority transfers records of enduring value to an appropriate archive repository, specifying the timing of transfers and other terms and conditions.</i></p> <p>Element 7 is a mandatory element and covers archiving and transfer arrangements. Section 1(2)(b)(iii) of the Act requires a RMP to include provision about the archiving and destruction, or other disposal, of an authority's public records and to detail its archiving and transfer arrangements to ensure that records of enduring value are deposited in an appropriate archive repository.</p>	<p>SLAB records which are identified as being of historical interest are transferred to the National Records of Scotland for permanent preservation. A renewed Memorandum of Understanding between the Keeper of the Records of Scotland and SLAB has recently been approved by the Keeper.</p> <p>The National Records of Scotland Web Continuity Service captures and preserves archives of SLAB websites.</p> <p>The Keeper has provided SLAB with a portable hard drive which we will use to transfer records to the Keeper for permanent archiving.</p>	<p>E07-01 SLAB - NRS Memo of Understanding</p> <p>E07-02 Records Management Transfer to NRS V4.0</p> <p>E07-03 The NRS web continuity service CLAO</p> <p>E07-04 The NRS web continuity service PDSO</p> <p>E07-05 The NRS web continuity service SLAB</p> <p>E07-06 National Archive - Records identified as ready for permanent preservation</p>	<p>None.</p>
RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 8: Information Security</b></p> <p><i>Information security is the process by which an authority protects its records and ensures they remain available. It is the means by which an</i></p>	<p>SLAB's Network and Desktop Security Policy and Computer Usage Policy provides a security framework for all services. These policies are reviewed annually. All staff receive information security awareness training and are reminded</p>	<p>E08-01 Network and Desktop Security Policy</p> <p>E08-02 Computer</p>	<p>Finalise work to attain Cyber Essential Plus accreditation.</p>

<p><i>authority guards against unauthorised access and provides for the integrity of the records. Robust information security measures are an acknowledgement that records represent a risk as well as an asset. A public authority should have procedures in place to assess and contain that risk.</i></p> <p>Element 8 covers information security and requires SLAB to make provisions for the proper level of security for its public records. SLAB must evidence that there are robust policies and procedures in place to protect its records.</p> <p>If records are not adequately protected then the risk that the records could be damaged and destroyed is potentially higher and could lead to significant reputational and financial cost to the business.</p>	<p>of the importance of security via SLAB's intranet. Procedures and processes such as data security are in place to deal with threats, risks and breaches of security. Staff can access the security policies direct from our intranet.</p> <p>SLAB carries out security tests, full penetration testing and vulnerability scans. The former is done once a year (in April) and is an extensive test of systems covering both access without credentials and also 'deep' testing of systems with a given set of credentials. The vulnerability scans are then done quarterly to compliment the 'full' test but only cover threats without credentials. All SLAB PC's are protected to prevent downloading of data to unencrypted media.</p> <p>All our public records are created and held digitally. We no longer hold any of these records in paper format.</p>	<p>usage Policy</p> <p>E08-03 SLAB Vulnerability Assessment Management Summary - April 2020</p> <p>E08-04 NCSC Cyber Security training for staff</p> <p>E08-05 SLAB NCSC training for staff</p> <p>E03-05 Introduction to Records Management (See Element 3)</p> <p>E08- 06 - Data Protection and Information Security training</p> <p>E08-07 - Intranet IS information</p> <p>E06-08 Details of SLAB Back-up tape retention</p>	
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RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 9: Data protection</b></p> <p><i>An authority that handles personal information about individuals has a number of legal obligations to protect that information under the Data Protection Act 1998.</i></p> <p>Element 9 covers Data Protection and requires SLAB to provide evidence of compliance with legal obligations to protect personal information under the Data Protection Act 2018.</p>	<p>As a Data Controller, SLAB is registered as such with the Information Commissioner’s Office (ICO). SLAB’s registration can be viewed on the ICO website. SLAB has appointed a Data Protection Officer (DPO) who has overall responsibility for overseeing compliance with the General Data Protection Regulation 2016 and Data Protection Act 2018.</p> <p>The DPO advises on data protection obligations, investigates and reports security breaches, provides advice on Data Protection Impact Assessments, Data Sharing Agreements and acts as a point of contact for data subjects and the ICO. In addition to the DPO, SLAB has a GDPR working group chaired by Graeme Hill. The other members of the group are the data protection officer, head of legal technical and director of operations. The working group meets on a fortnightly basis to discuss any data privacy or data protection risk to the organisation.</p> <p>Information is available to the public on their rights under the Act and how they can access information about them through our Privacy Notices and Access to Information leaflet which are available on SLAB’S website. SLAB has a Data Protection Policy this ensures that SLAB complies with the requirements of the Data Protection Act. The Policy is reviewed annually by the Data Protection Officer and</p>	<p>E08- 06 Data Protection and Information Security training (see Element 8)</p> <p>E09-01 Registration Certificate ICO 20-2021</p> <p>E09- 02 Data Protection - Subject Access Requests - Data Subject Rights guidance</p> <p>E09-03 Data Protection Policy</p> <p>E09-04 Data Breach guidance for staff</p> <p>E09 -05 Individual Rights</p>	<p>Revise and update all training and policy and procedure documents where required as a result of Brexit.</p>

	<p>SLAB's Executive Team.</p> <p>Mandatory Data protection and information security training and Cyber Security training is in place for all staff and regular updates on data protection are posted on our intranet.</p> <p>Please note we are still awaiting our ICO registration certificate for 20-2021.</p>	<p>Procedure</p> <p>E09-06 SLAB Privacy Notice</p> <p>E09- 07 PDSO Privacy Notice</p> <p>E09-08 SCL Privacy Notice</p> <p>E09-09 SLAB Privacy Notice Staff</p> <p>E09-10 SNSIAP Privacy Notice for Peer reviewers</p> <p>E09-11 CLAO Privacy Notice</p> <p>E09-12 Access to Information Leaflet</p> <p>E09-13 SLAB SCPD Policy</p> <p>E09-14 Intranet article use of email (26/03/20)</p>	
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		<p>E09-15 Intranet article Think Privacy - Scammers (05/05/20)</p> <p>E03-05 Staff training - Introduction to Records Management (See Element 3)</p>	
RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 10: Business continuity and vital records</b></p> <p><i>A business continuity and vital records plan serves as the main resource for the preparation for, response to, and recovery from, an emergency that might affect any number of crucial functions in an authority.</i></p> <p>Element 10 covers business continuity and vital records. Certain records held by authorities are vital to their function. The Keeper expects SLAB to identify these records and have appropriate business continuity plans ensuring that the critical business activities referred to in their vital records will be able to continue in the event of a disaster.</p>	<p>SLAB has a Business Continuity plan that is reviewed annually or after a business continuity incident. All business areas within SLAB have local plans that are also reviewed annually. Each business area has access to their own local plans. As the local plans contains personal information such as staff's personal mobile numbers access to the local plans is restricted to the team leader and managers.</p> <p>SLAB provides a secure text service to alert all staff of emergency situations, such as Thistle House building closure, bad weather or major transport strikes. All records and data held on SLAB's systems are subject to robust backup and recovery measures. Nightly backups are carried out at the external data centre and a</p>	<p>E10-01 Business Continuity Plan</p> <p>E10-02 Vital Records Breakdown</p> <p>E10-03 Intranet article (24/04/20)</p> <p>E10-04 Intranet article (30/04/20)</p> <p>E10-05 Business continuity - Local plan CEO</p>	<p>None.</p>



	<p>copy is also transferred to SLAB's disaster recovery servers so all data is readily available in the event of a business continuity situation.</p>	<p>&amp; Communications Nov 2020.</p> <p>E10-06 Screenshot access to local plans</p> <p>E10-07 Intranet article Notification of text alert service (11.09.18)</p> <p>E03-05 Introduction to Records Management (see Element 3)</p> <p>E06-08 Details of SLAB - backup tape retention (see Element 6)</p>	
RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 11 - Audit Trail</b></p> <p><i>An audit trail is a sequence of steps documenting the movement and/or editing of a record resulting from activities by individuals, systems or other entities.</i></p>	<p>Operational areas within SLAB use business systems capable of monitoring the movement and amending of records. SLAB also uses a software tool which records when someone creates, modifies or deletes a file or directory.</p>	<p>E11-01 Folder creation request form</p> <p>E11-02 Moving</p>	<p>SharePoint (once introduced) will have the facility to</p>

<p>The Keeper will expect an authority's RMP to provide evidence that the authority maintains a complete and accurate representation of all changes that occur in relation to a particular record. For the purpose of this plan 'changes' can be taken to include movement of a record even if the information content is unaffected.</p> <p>Audit trail information must be kept for at least as long as the record to which it relates. This audit trail can be held separately from or as an integral part of the record. It may be generated automatically, or it may be created manually.</p>	<p>This software tool does not record changes to records so this is carried out as part of our version control process.</p> <p>Deletion of records are recorded within our records disposal form.</p> <p>System access to all systems is recorded for each individual limiting what any individual can access and do by controlling their read/write access permissions through menus, roles and responsibilities set on the systems. Staff access to systems is subject to line manager authorisation.</p> <p>All paper records, are scanned onto our electronic systems within 24 hours of receipt. The paper hard copies are stored securely for 30 days and then destroyed. Original records such as birth/marriage certificates are returned to the sender once scanned.</p> <p>In some circumstances we may need to create a paper file or retain the record in its original format, for example standard securities. These are stored in locked cabinets until the end of their life cycle. Details of the location of hard-copy records are held in our electronic systems allowing these records to be identified and tracked.</p>	<p>Department Form</p> <p>E11-03 New User Form</p> <p>E11-04 Termination of Access Form</p> <p>E11-05 Extract from Accounts internal workbench guidance</p> <p>E11-06 CLAO screenshot file closure</p> <p>E11-07 PDSO Files at home procedure</p> <p>E11-08 Extract from spreadsheet</p> <p>E03-01 Records Management Guidance (see element 3)</p> <p>E05-08</p>	<p>have a full audit trail for records.</p>
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		Intranet article - Records Management Review of records against retention schedules (see Element 5)	
RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 12: Competency framework for records management staff</b></p> <p><i>A competency framework lists the core competencies and the key knowledge and skills required by a records manager. It can be used as a basis for developing job specifications, identifying training needs, and assessing performance.</i></p> <p>Element 12 covers a competency framework for Records Management staff. The Keeper expects the RMP to detail a competency framework for person(s) designated as responsible for the day-to-day operation of activities described in the elements in the authority's RMP.</p> <p>It is important that authorities understand that records management is best implemented by a person or persons possessing the relevant skills.</p>	<p>SLAB has a dedicated Records and Information Management Specialist (Christine Connerton) with the skills outlined within the job description and who can take forward the implementation of the RMP.</p> <p>SLAB recognises the importance of the Records Management Specialist attending training and events to ensure she maintains continued professional development and to keep up-to-date with industry best practice. Christine has been given the opportunity to undertake appropriate training and to attend events and conferences related to records management. Christine was due to undertake: The practitioner certificate in Scottish Public Sector Records Management which would have commenced on 27 May 2020. Due to the Covid-19 Pandemic this has been postponed.</p> <p>Christine was able to attend the IRMS webinar - Records Management in Office 365 on 11 June 2020.</p>	<p>E12-01 IRMS Webinar Records Management in Microsoft 365</p> <p>E12-02 PRSA Element 15 Surgery Confirmation of booking</p> <p>E12-03 Scottish Public Sector Records Management Training May 2020</p> <p>E12-03 Postponement Practitioner certificate in Scottish public</p>	<p>Attend rescheduled Scottish Public Sector Records Management Training.</p>

	<p>SLAB have Information Asset Owners who are responsible for records management which is part of other roles they carry out. All Information Asset Owners receive training and have been issued with guidance to assist them in this role.</p> <p>As part of the induction process all staff within SLAB carry out mandatory Data protection &amp; Information Security training. In addition to this all staff are required to complete our Introduction to Records Management training module.</p> <p>Access to SLAB's systems is granted once this training is completed.</p> <p>Staff receive mandatory Cyber Security training. All staff are made aware of records management requirements, best practice and of any potential security issues through the SLAB website.</p>	<p>sector Records Management</p> <p>E02-03 Confirmation of IRMS Registration (see Element 2)</p> <p>E03-01 Records Management Guidance (see Element 3)</p> <p>E03-02 Corporate Induction Timetable Outline (see Element 3)</p> <p>E03-03 Role of Information Asset Owner - A Practical Guide (See Element 3)</p> <p>E03-05 Introduction to Records Management (See Element</p>	
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		3) E05-05 IAO and Records Management Presentation (see Element 5)  E09-01 Data Protection and Information Security Training (see Element 9)	
RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 13: Assessment and review</b></p> <p><i>Regular assessment and review of records management systems will give an authority a clear statement of the extent that its records management practices conform to the Records Management Plan as submitted and agreed by the Keeper.</i></p> <p>Element 13 covers assessment and review of the RMP. SLAB is required to keep its RMP under review and must describe the procedures in place to undertake this regular review.</p>	<p>SLAB is committed to ongoing monitoring and review of the effectiveness of the RMP. The RMP and all related policies and procedures are subject to an annual review by the Records Management Specialist. This will ensure that they remain up to date, take account of any new or changed legal requirements, best practice and business needs.</p> <p>Findings will be reported to the Delivery of Records Management Project Board and any actions noted and taken forward. Monitoring of these actions will be carried out by the Delivery of Records Management Project Board. This group meet approximately every 6 to 8 weeks.</p>	<p>E13-01 Extract from Audit Final Report - Information Governance</p> <p>E01-01 Records Management policy (see Element 1)</p> <p>E04-02 Delivery of Records Management Plan Minute 6</p>	<p>Carry out self-assessment based on the JISC infoNet Records Management Maturity Model.</p>

	<p>All business areas are required to monitor and review their records management as part of the bi-annual reviews of the Combined Information Asset Registers and retention schedule.</p> <p>SLAB's Internal Audit Department will carry out regular annual assurance to ensure we are meeting our legal requirements under the Act.</p>	<p>Apr 2020 (see Element 4)</p> <p>E05-08 Intranet article - Records Management Review of records against retention schedules (see Element 5)</p>	
RMP Element Description	SLAB Statement	Evidence	Future Developments
<p><b>Element 14: Shared Information</b></p> <p><i>Under certain conditions, information given in confidence may be shared. Most commonly this relates to personal information, but it can also happen with confidential corporate records.</i></p> <p>Element 14 covers shared information. The Keeper will expect an authority's RMP to reflect its procedures for sharing information.</p> <p>Authorities who share, or are planning to share, information must provide evidence that they have considered the implications of information sharing on good records management.</p>	<p>SLAB is committed to protecting the rights and freedoms of individuals with respect to the processing of their personal data and adheres to the Information Commissioners Data sharing code of practice.</p> <p>SLAB identify all instances of information sharing between other organisations. This is recorded and monitored on a regular basis.</p> <p>A standard data sharing agreement template is in place which can be modified to reflect the specific requirements and circumstances for sharing information.</p> <p>Confidentiality terms are included in all contracts with third parties</p> <p>SLAB uses the Scottish Government T&amp;C's when tendering for goods or services that are</p>	<p>E14-01 Data Sharing Agreement Guidance</p> <p>E14-02 Data Sharing Agreement Template</p> <p>E14-03 DP Tool 3 - Data Sharing Agreements</p> <p>E14-04 Privacy Impact Assessment Guidance and templates</p>	<p>None.</p>

	off framework.	E14-05 SGTC1-2020 E14-06 SGTC2-2020 E14-07 SGTC3-2020 E14-08 SGTC4-2020 E14-09 Audit Data Sharing Agreement  E14-10 GDPR questionnaire E09-06 - E09-11 Privacy Notices (see Element 9)	
<b>RMP Element Description</b>	<b>SLAB Statement</b>	<b>Evidence</b>	<b>Future Developments</b>
<b>Element 15: Shared information</b>  <i>Public records created or held by third parties.</i>	SLAB do not have any third parties who carry out any functions of SLAB that would involve the creation of record and the holding of records.  This is a new Element. The Records Management Specialist was due to attend a PRSA surgery designed to deal specifically with Element 15 covering what it is and what it seeks to do. Due to the COVID-19 pandemic this was cancelled and is due to be rescheduled at a later date.	N/A	Attend PRSA surgery on Element 15 once rescheduled.

## Appendix 1 - Evidence Submitted

Reference	Document name	Supporting Elements
<b>ELEMENT 1</b>		
E01-01	Records Management Policy	Element 1,2,3,13
E01-02	Senior Manager and Staff Responsibilities statement	Element 1
<b>ELEMENT 2</b>		
E02-01	Records Management Specialist job Description	Element 2
E02-02	Evidence of training - personal development	Element 2,12
E02-03	Confirmation of IRMS Registration	Element 2,12
E02-04	Notification to Staff - Appointment of Records	Element 2
E01-01	Records Management Policy	See Element 1
<b>ELEMENT 3</b>		
E03-01	Records Management Guidance	Element 3,4,5,11
E03-02	Corporate Induction Timetable Outline	Element 3,12
E03-03	Role of Information Asset Owner - A Practical Guide	Element 3,5,12
E03-04	Extract of Board Minute 4 May 2020	Element 3
E03-05	Staff Training - Introduction to Records Management	Elements 3,5,6,8,9,10,12
E01-01	Records Management Policy	See Element 1
<b>ELEMENT 4</b>		
E04-01	Delivery of Records Management Plan Block plan	Element 4
E04-02	Delivery of Records Management Plan Minute 6 April	Element 4,13
E04-03	Business Classification Scheme	Element 4
E03-01	Records Management Guidance	See Element 3
E04-04	List of Information Asset Owners	
<b>ELEMENT 5</b>		
E05-01	Completion of Retention Schedule Guidance	Element 5
E05-02	Accounts Combined Retention Schedule	Element 5
E05-03	Civil Finance Combined Retention Schedule	Element 5
E05-04	Facilities & Estates Combined Retention Schedule	Element 5
E05-05	HR Combined Retention Schedule	Element 5
E05-06	I.S. Combined Retention Schedule	Element 5
E05-07	IAO and Records Management Presentation	Element 5,12
E05-08	Intranet article - Review of Records against Retention Schedules 09.06.20	Element 5
E03-01	Records Management Guidance	See Element 3
E03-03	Role of Information Asset Owner - A Practical Guide	See Element 3
E03-05	Staff Training - Introduction to Records Management	See Element 3
<b>ELEMENT 6</b>		
E06-01	Records Management Confidential Destruction	Element 6,11
E06-02	Records Disposal Form Compliance Dept	Element 6
E06-03	Records Disposal Form BERU	Element 6
E06-04	Records Disposal Form IS Dept	Element 6
E06-05	Shred-it- Security Info document	Element 6
E06-06	Evidence of disposal - (IS equipment)	Element 6



E06-07	Evidence of disposal (paper)	Element 6
E06-08	Details of SLAB backup tape retention	Element 6
E03-05	Staff Training - Introduction to Records Management	Element 3
<b>ELEMENT 7</b>		
E07-01	SLAB - NRS - Memo of Understanding	Element 7
E07-02	Records Management transfer to NRS V4.0	Element 7
E07-03	The NRS web continuity service CLAO	Element 7
E07-04	The NRS web continuity service PDSO	Element 7
E07-05	The NRS web continuity service SLAB	Element 7
E07-06	NRS - Records identified for permanent preservation	Element 7
<b>ELEMENT 8</b>		
E08-01	Network and Desktop Security Policy	Element 8
E08-02	Computer usage Policy	Element 8
E08-03	SLAB - Vulnerability Assessment Management Summary	Element 8
E08-04	NCSC - Cyber Security Training for staff	Element 8
E08-05	SLAB - NCSC Cyber Security Training for staff	Element 8
E08-06	Data Protection and Information Security Training	Element 8,9
E08-07	Intranet - IS information for staff	Element 8
E03-05	Staff Training - Introduction to Records Management	See Element 3
E06-08	Details of SLAB backup tape retention	See Element 6
<b>ELEMENT 9</b>		
E09-01	Registration Certificate 2020-2021	Element 9
E09-02	Data Protection - Subject Access Requests - Data Subject Rights guidance	Element 9
E09-03	Data Protection Policy	Element 9
E09-04	Data Breach guidance for staff	Element 9
E09-05	Individual Rights Procedure	Element 9
E09-06	SLAB Privacy notice	Element 9,14
E09-07	PDSO Privacy Notice	Element 9,14
E09-08	SCL Privacy Notice	Element 9,14
E09-09	SLAB Privacy Notice Staff	Element 9,14
E09-10	SNSIAP Privacy Notice for Peer Reviewers	Element 9,14
E09-11	CLAO Privacy Notice V2.0	Element 9
E09-12	Access to Information Leaflet	Element 9
E09-13	SLAB SCPD Policy	Element 9
E09-14	Intranet article use of email 26.03.20	Element 9
E09-15	Intranet article Think Privacy - Scammers 05.05.20	Element 9
E03-05	Staff Training - Introduction to Records Management	See Element 3
E08-06	Data Protection and Information Security training	See Element 8
<b>ELEMENT 10</b>		
E10-01	Business Continuity Plan SLAB	Element 10
E10-02	Vital Records Breakdown	Element 10
E10-03	Intranet article dated 24.04.20	Element 10
E10-04	Intranet article dated 30.04.20	Element 10
E10-05	Business continuity - Local plan CEO & Communications	Element 10
E10-06	Screenshot access to local plans	Element 10
E10-07	Intranet article dated 11.09.18 - Notification of text	Element 10

E03-05	Staff Training - Introduction to Records Management	See Element 3
E06-08	Details of SLAB backup tape retention	See Element 6
<b>ELEMENT 11</b>		
E11-01	Folder Creation Request form	Element 11
E11-02	Moving Department Form	Element 11
E11-03	New User Form	Element 11
E11-04	Termination of Access Form	Element 11
E11-05	Extract from Accounts Internal Workbench Guidance	Element 11
E11-06	Screenshot file closure	Element 11
E11-07	PDSO - Files at home procedure	Element 11
E11-08	Register of files held off site - extract from	Element 11
E03-01	Records Management Guidance	See Element 3
E05-08	Intranet article - Review of Records against Retention Schedules 09.06.20	See Element 5
<b>ELEMENT 12</b>		
E12-01	IRMS - Webinar Records Management in Microsoft 365	Element 12
E12-02	PRSA Element 15 Surgery - Confirmation of booking	Element 12
E12-03	Scottish Public Sector Records Management Training -	Element 12
E12-04	Postponement Practitioner Certificate in Scottish Public Sector Records Management	Element 12
E02-03	Confirmation of IRMS Registration	See Element 2
E03-01	Records Management Guidance	See Element 3
E03-02	Corporate Induction Timetable	See Element 3
E03-03	Role of Information Asset Owner - A Practical Guide	See Element 3
E03-05	Staff Training - Introduction to Records Management	See Element 3
E05-05	IAO and Records Management Presentation	See Element 5
E09-01	Data Protection and Information Security Training	See Element 9
<b>ELEMENT 13</b>		
E13-01	Extract from Audit Final Report - Information	Element 13
E01-01	Records Management Policy	See Element 1
E04-02	Delivery of Records Management Plan Minute 6 Apr	See Element 4
E05-08	Intranet article - Review of Records against Retention Schedules 09.06.20	See Element 5
<b>ELEMENT 14</b>		
E14-01	Data Sharing Agreement Guidance	Element 14
E14-02	Data Sharing Agreement Template	Element 14
E14-03	DP Tool 3 - Data Sharing Agreements	Element 14
E14-04	Privacy Impact Assessments Guidance & Templates	Element 14
E14-05	SGTC1-2020	Element 14
E14-06	SGTC2-2020	Element 14
E14-07	SGTC3-2020	Element 14
E14-08	SGTC4-2020	Element 14
E14-09	Audit Data Sharing Agreement	Element 14
E14-10	GDPR Questionnaire	Element 14
E09-06 to	Privacy Notices	See Element 9
<b>ELEMENT 15</b>		
E15-01	We do not have any records that fall into this category	