

Records Office SLA

A) Date and version history

Version	Date
Records Office Service Level Agreement Version 0.1 First draft of the agreement prior to pilot	24 August 2010
Records Office Service Level Agreement Version 0.2 Comments from the BSB	24 August 2010
Records Office Service Level Agreement Version 0.3	15 September 2010
Records Office Service Level Agreement Version 0.4	22 September 2010

B) Parties Involved and Lead Officers

Service Provider	Lead Officer
Records Office, Central Services, Bar Council	Smita Shah, Records Manager

Service Users	Lead Officer
All staff members at the Bar Standards Board, that require information held by the Records office	Mandie Lavin, Director

C) Overview of the agreement

How this agreement will meet the businesses needs
This document records the Service Level Agreement (SLA) between the Records Office within the Central Services Department. It describes the services that the Records Office provides and its performance indicators. The SLA will be monitored annually and where required, will be revised in consultation with the respective directors.

D) Requirements

What is required by the service user
Membership <ul style="list-style-type: none">• Holding Membership records of barristers• Confirmation of status of barristers and historical records of barristers• Issuing Certificates of Good Standing• Issuing Practising Certificate Letters/Voluntary Subscriptions for the Bar, dependant on status• Issuing Practising Certificates• Collecting, collating and updating the data from barristers and Chambers on an Annual Basis (Chambers Return and Non-Practising/Employed Returns)• Reporting Non-Payers (PCF Fees) to the Complaints Department and notify the Complaints department where a barrister who has been referred for non payment of a PC subsequently pays• Answering telephones relating to membership and general enquiries• Updating Records from the Ministry of Justice from barrister to Judicial Status• Generating new member records from new Calls to the Bar• Issuing CCBE Identity Cards• Police Statements• Updating members records with disciplinary findings (such as suspensions)

Data

- Maintaining the database with updates (name, address, date of call, practising status etc) and dealing with data requests from Departments and other organisations regarding Membership Groups
- Data Checks for CPD and New/Established Practitioner Programme (NPP/EPP)
- Providing the Statistics of the Bar/breakdown to various departments
- Holding/amending the committee listings
- Rights of Audience audits
- Ensuring membership of the profession is recorded correctly and accurately (eg changes to Status)
- Managing the income relating to barristers Practising Certificate Fees and Members' Services Fee
- Managing other payments from fees for Certificate of Good Standing and fines
- Managing annual returns
- Liaising with IT regarding the maintenance of the Records Database
- Prepare financial reports (for example money collected, refunds, unpaid fees) for the Finance Department on a monthly basis as well as on an ad hoc basis

Central Database

- Manage all amendments to Central Database and liaise with IT regarding the maintenance

Finance

The Records Office carries out all PCF/MSF related accounting processes independently from the Finance department, as well as dealing with payments of other department's fines; this includes:

- Processing payments
- Administering block payments/direct debits
- Granting reduction in fees (PCF) relating to low income and leave absence
- Providing financial reporting of income and 'unpaid' to the Finance Department
- End of Year accounting

Annual Updates for Membership

- Writing to barristers on an annual basis for updates
- Making necessary changes to ~20,000 records (takes 10 weeks)

Updating the PCF/MSF Rates

- Rates updated following Bar Council agreement (October)
- Send out renewal notices to barristers and Chambers

Managing the fees collection

- Sending reminder letters
- Telephoning Barristers and block payment chambers
- Issuing Practising certificates to the relevant subscription groups
- Applying surcharges
- Reporting barristers to the Complaints Department for non-payment

General Housekeeping

- Day-to-day enquiries that we get from barristers
- Ensuring our data is accurate

What is required by the service provider

- The Records Team require clear guidance on operating the membership, in particular for those who are practising members of the Bar with regards to the Practising Certificate Fees. Guidance in the Code of Conduct has to be up to date so that membership can be maintained accurately
- The Records Team require 4 working days' notice in order to carry out ad hoc tasks that are requested from Service Users. If queries cannot be answered directly, the Records team will respond within 1 working day to say when the information can be provided
- The Complaints database need to be kept up to date with regards to disciplinary findings, in order for Certificates of Good Standing CoGS can be issued correctly
- The Code of Conduct and any associated guidance must clearly show the penalties and steps that can be taken to follow up on late or non-payment of PCFs

E) Length of agreement and review date

Length of Agreement	Review Date
This SLA will be reviewed annually	31 August 2011
There will be a 3 month review of the additional arrangements in the SLA, carried out by the service provider and the service users	3 month review to be carried out in January 2011

F) Specifications

Level of Service	Target
Standard Requests - The Records Office will always aim to provide Records information to BSB staff within 4 working days. If queries cannot be answered within this timescale, the Records team will respond within 1 working day to say when the information can be provided. Urgent Requests – Where urgent queries are received (for example those relating to Complaints cases), and urgent deadlines have been stated, the Records Office will respond as quickly as possible to accommodate these requests.	1 – 4 working days
Reporting Non-Payers (PCF Fees) to the Complaints Department and notify the Complaints department where a barrister who has been referred for non payment of a PC subsequently pays	By the deadline stated in the Code of Conduct.

G) Quality

Level of Service	Target
An overview of the provision of information, which will note both good examples as well as areas where there may be concerns, will be reported to the quarterly SLA meetings.	Report from the BSB will be presented to the quarterly SLA meeting
The Records Office's workload will be communicated to the BSB to provide an indication of the levels of service in F) that the BSB can expect (for example when mass updates to records are taking place in the office, the level of service may be nearer to 4 days, and for other times it may be nearer 1 day)	Quarterly report to the SLA meetings.

H) Timing

Requests for service	Time frame
Standard requests require 4 working days notice prior to a full response being provided	4 working days notice

I) Availability of Service

When can you contact us	Hours
The Records Office will provide support from 9.00am – 5.00pm Monday to Friday and outside these times by arrangement with the Records Officer and Manager.	9.00am – 5.00pm

J) Performance monitoring and reporting

Measures	Reported to
The measures detailed in F) G) and H) will be monitored through overview reports that detail the quality and timeliness of advice; the reports will note both good examples as well as areas where there may be concern.	Will be presented by both the E&D team and the BSB to the Quarterly SLA Meetings

K) Dispute resolution

First Steps	Responsibility
The Equality and Diversity Advisors and the Service Users should initially attempt to resolve any disputes as to whether the SLA has been adhered to (targets and requirements met/not met). This may include reviewing the content of the SLA. Where issues around prioritisation occur, these must be raised with the Directors	Equality and Diversity Advisors / Service users

Second Steps	Responsibility
If the issues cannot be resolved locally, then they should be raised with either of the Directors. Non-compliance with the SLA should be discussed with the reasons why targets or requirements cannot, or have not, been met. Resolution or remedial action should be investigated and then agreed by both Directors.	Director of Central Services, BSB Director

Third Steps	Responsibility
The Directors can refer SLA issues to the Chairs Committee if the prioritisation of services or independence of the regulatory functions are, or may become, compromised. The Committee may decide that the BSB should explore other avenues, possibly external sources, for service provision.	Chair of the Chairs Committee

L) Signatures

Name and Job Title	Signature and Date
Smita Shah Records Manager	15 September 2010
Oliver Delany Director - Central Services	
Mandie Lavin Director - BSB	