

Records Management

Human Resources

Standards for the management of  
Government records

Records Management

**Human Resources**

# **Human Resources in Records Management**

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**List of Contents**

- 1 Introduction
- 2 Competence Framework
  - 2.1 Competencies
  - 2.2 Levels of Knowledge/Expertise
  - 2.3 Framework
  - 2.4 Application of the Framework
- 3 Job and Person Specifications
  - 3.1 Role Types
  - 3.2 Job Specifications
  - 3.3 Person Specifications
- 4 Training and Development
  - 4.1 Development Plans
  - 4.2 Training
- 5 Further Information

## 1 Introduction

The efficient and reliable management of information represents one of the principal challenges faced by government departments and agencies. The introduction of new legislation, such as freedom of information and data protection, makes the task yet more demanding. At the same time the automation of government business has led to a radical re-think of our approach to records management and in particular to devise systems for electronic handling and storage of records.

Records managers, their staff and all who are concerned with the management of information need to develop particular knowledge and skills in order to meet these challenges, to ensure the effective operation of their organisations and businesses, to provide the means for achieving corporate objectives, and to contribute to the Government's overall policy of achieving a better public service.

This guidance has been formulated over the past year as a result of significant work in the development of records management standards, the application of those standards, and the recognition that records management staff need to be equipped to provide the ever-increasing quality of service expected of them.

The guidance consists of three distinctive but inter-related elements:

- A competence framework
- Job and person specifications
- Training and development

The **competence framework** has been developed in order to define the 'people capability' required in records management organisations. The competencies are set in a framework of four descriptive levels which relate closely to the grading of work in records management units. The competencies themselves, however, may be spread in various ways when applied to departments, depending on a number of factors: functions of the department, the department's size, information and corporate strategies, and the level of information technology used in the department.

The **job and person specifications** section includes definitions and examples which, in conjunction with the competence framework, will provide the means for describing roles at the different grading levels of records management work. These may range from the head of a large information services organisation to records support staff in a small operational unit.

The guidance also contains information on **training and development** which may need to be introduced as a result of a competency assessment arising from the framework and specifications outlined above.

## 2 **Competence Framework**

### 2.1 Competencies

Competencies describe what people do in the workplace at various levels and specify the standards for each of those levels; they identify the characteristics, knowledge and skills possessed or required by individuals that enable them to undertake their duties and responsibilities effectively and thus to achieve professional quality standards in their work; and they cover all aspects of records management performance – particular skills and knowledge, attitudes, communication, application and development. Three kinds of competence are used in this framework:

**Core Competencies** - these are competencies relating to a records management organisation's strategic priorities and values. They will be applicable to all records management staff.

**Managerial Competencies** - these competencies reflect the managerial activity and performance required in certain records management roles.

**Functional Competencies** - these describe the role-specific abilities required and usually relate to professional or technical skills.

### 2.2 Levels of Knowledge/Expertise

These levels are of four kinds:

**Learner** - requires some support; just beginning to need to demonstrate the competence

**Threshold** - able to perform most aspects of a competence without supervision

**Excellent** - consistently demonstrate very good performance in most aspects of the competence; coaching others in the competence is an important part of this level

**Expert** - demonstrate outstanding performance in a competence at a complex level; viewed as superior by others (within the organisation and outside it); create the environment in which others can succeed in the competence

## 2.3 Framework

The framework is prefaced by a list of the competencies in the three categories of core, managerial and functional. Each one of these competencies is then described at the four levels of learner, threshold, excellent and expert. The descriptions for each level are examples of the skills or knowledge that should be reached before qualifying for the particular level. In the case of the core and managerial competencies these descriptions might be considered as relatively standard across government. The functional competencies, however, may be dependent on the strategic objectives and organisational management of particular departments.

The framework is set out at Annex A.

## 2.4 Application of the Framework

Each role in a records management unit can be described in terms of a 'competence profile' which indicates:

- The competencies required in the job (selected from the framework)
- The level of a competence which must be demonstrated in that job

An example of a profile is shown at Annex B.

### 3 **Job and Person Specifications**

The specifications are designed principally to aid managers in the recruitment of suitable staff to records management units. They can, however, also be used to set out performance management plans with staff at the beginning of each business year and, in conjunction with performance assessments, be used to identify training and development requirements.

#### 3.1 Role Types

Roles in the government records management field may be said to be of four main types:

- director of information services - the post that oversees the information management function in a department, usually including IT matters; their main role is the formulation of policy and contribution to the achievement of the department's corporate objectives by ensuring that it raises the standard of records and information management.
- records manager/departmental record officer - the post of Departmental Record Officer (DRO) in government departments and agencies was first established in 1958. While some DRO duties have remained unchanged since then, it is clear that the post's responsibilities have increased significantly and have become more complex.
- records executive - typically the records executive or records supervisor will take charge of specific areas of records management within the overall management of an organisation's records and information. For example, they may be responsible for all matters concerning the management of active records – file classification systems, inspection of file management units, liaison with nominated officers throughout the organisation, etc. They may take charge of an organisation's intermediate records and be responsible for the operation of a review system. In a large organisation they may be part of the review team itself.
- records clerk - the post of records clerk may be used in a number of ways - preparing records for transfer to the Public Record Office, retrieving and replacing records for the department's own staff, compiling lists and other finding aids to selected records, etc.

## 3.2 Job Specifications

A job specification should comprise two main elements:

- purpose
- description

3.2.1 The **purpose** of the job consists of a short statement outlining the main functions of a particular role. These functions will underpin the job holder's performance management plan which feeds into departmental and corporate strategy plans. For example:

### 3.2.1.1

- supervision and co-ordination of the work of a group of government departments to provide for the timely and effective appraisal, documentation and accessioning of departmental records

### 3.2.1.2

- develop and manage an organisation-wide records management programme designed to ensure that records practices are effectively meeting the organisation's objectives

### 3.2.1.3

- assistance in the provision of an efficient records management system and mail processing system to service the whole of the organisation's operations

### 3.2.1.4

- secure the prompt and efficient transfer of records selected for permanent preservation, with the provision of lists and finding aids in accordance with required standards

3.2.2 The **job description** lists the particular duties and responsibilities of the role. For example:

### 3.2.2.1

- agreeing and monitoring the planning process in government departments, including the delivery of planned objectives, and reporting on progress;
- routine visits/contact with government departments in accordance with planning and reporting frameworks;
- supervising the submission of applications for variations to the 30 year rule and advising departments on access questions;

- encourage and monitor the use of disposal schedules in government departments;
- advise on and monitor appraisal of records in departments in accordance with agreed guidelines;
- process accessions (approving circulations, checking introductory notes and class lists, etc);
- compile entries to PROCAT;
- represent the department as necessary in professional and academic matters

#### 3.2.2.2

- establish procedures and direct the implementation of the records management programme;
- co-operate with management to define and monitor functional recordkeeping requirements;
- establish systems and processes to enable those requirements to be met;
- monitor compliance with legislative and other recordkeeping requirements;
- develop recordkeeping and records management standards and rules, including those for electronic recordkeeping;
- provide technical support and co-ordination of personnel resources necessary for the successful operation of the programme;
- provide technical training to business unit records personnel as required to achieve desired results;
- responsible for addressing and resolving problems within the records management areas;
- responsible to the Information Technology Manager for the records management budget and cost control, and provision of advice on budgets to business units;
- establish procedures for the evaluation, implementation and review of manual and automated records systems;
- design and implement effective records disposal schemes;
- advise on and implement effective strategies for storage of active records (electronic and paper);
- manage an off-site storage programme for inactive records;
- prepare periodic reports for the Information Technology Manager with respect to the records management operations;

#### 3.2.2.3

- accountable for the accurate recording of file data and movement of files throughout the organisation;
- make files available on demand;
- circulate files to officers in accordance with established procedures;
- provide assistance and information on status of files;
- collection and distribution of outward mail;

- processing of inward mail;
- establish and maintain property series files under the direction of the Records Manager;
- assist with co-ordination of copier maintenance;
- assist with file courier service as required

#### 3.2.2.4

- supervise and guide the preparation of records from departments and their agencies;
- carry out checks on the physical preparation of records in government departments and their accompanying lists in accordance with service level agreements, ensuring good quality in both areas;
- promote the use of the DRUID system and support its introduction;
- initiate first, second and third circulations within specified time frames;
- check details on applications for extended closure, accelerated opening and retention within a specified time frame;
- participate in and contribute to various working parties and projects, including liaison with other parts of the Office, supervising documentation support work, and undertaking specific tasks

### 3.3 Person Specifications

The person specification draws directly on the competence framework. It specifies those skills required for the job and the level at which they should be pitched. For example the role described in 3.2.1.1 and 3.2.2.1 above might require the following person specification:

**qualifications** - honours degree, preferably in history, and a post-graduate qualification in archives, or at least five years experience in records work

**experience** - an understanding of central government structures and knowledge of contemporary history; an awareness of the potential of records for historical research; knowledge of the holdings of the Public Record Office; an awareness of records management principles and practices

**skills** - high level of interpersonal skills; ability to work as part of a team; initiative; decisiveness; consistency

The role described in 3.2.1.2 and 3.2.2.2 above might have the following person specification:

**qualifications** - tertiary qualifications in records management

**experience** - five years records management experience, ideally in a supervisory role; experience in implementing and maintaining a computer-based records system is desirable

**specialist skills and knowledge** - computer keyboard skills; knowledge of activities and operations of government; understanding of archives legislation

**management skills** - ability to work within specified timescales to achieve set objectives

**interpersonal skills** - ability to liaise with staff at all levels and assist them in records and research functions; essential to work in a team environment to achieve a team objective

## 4 Training and Development

- 4.1 The issues surrounding the demand for more efficient and reliable management of information and the automation of government business give rise to training and development needs across government. The competence framework detailed in earlier sections of this guidance and the job and person specifications linked to it provide the means to identify those needs.

Staff development must be seen in conjunction with the operational needs of departments. In the records management function these are set out in legislation, standards and best practice guidelines, but they will also be integrated closely with the work and strategic priorities of the department as a whole.

### 4.2 Development Plans

Each member of the records management function should have a development plan, drawn up on the basis of a comparison between their skills and the competencies necessary for their role. Such a plan should be guided by the department's strategic priorities. The plan should be drawn up at the beginning of each business year, in conjunction with the performance management plan for the individual. It should identify the skills which are to be developed, the methods used to develop them, the contribution that this development will make to the department's corporate objectives, and criteria for the evaluation of the success of the development activity.

An example of a development plan is shown at Annex C.

### 4.3 Training

- 4.3.1 Training might be undertaken in a number of different ways:

- reading
- videos and electronic learning materials
- mentoring and coaching
- formal courses
- on the job learning

Training methods should be chosen to suit the individual involved and the learning objectives.

#### 4.3.2 Formal Courses

From 1 September 1999 the PRO's Records Management Department (RMD) will have available a training programme which focuses on the needs of government records management and which is appropriate for all staff working with records. The programme aims to develop professionalism and best practice in records management, and to equip staff with the expertise and range of skills which are required in the new technological and organisational environments and which this guidance has set out. The programme will be delivered by the University of Liverpool, in association with University College London and the University of Northumbria at Newcastle. Further information can be obtained from the programme director:

Sarah Westwood  
Liverpool University Centre for Archive Studies  
8 Abercromby Square  
Liverpool  
L69 3BX

Tel: 0151 794 2411  
Fax: 0151 794 2366  
e-mail: westwos@liverpool.ac.uk

The Public Record Office will continue to offer training courses **only** in those few areas which are very specific to PRO requirements, such as *Introduction to/tour of PRO* for new departmental staff, and which cover very specialist procedures, such as *Packing, labelling and repair techniques*.

Bespoke training courses in government departments will also be available under the aegis of the RMD Consultancy Service.

#### 4.3.3 The PRO's Records Management Department can give advice on available training for records management and archives administration:

Tel: 0181 876 3444  
Fax: 0181 392 5283  
e-mail: records.management@pro.gov.uk

## 5 Further Information

- 5.1 The Public Record Office is currently working on a series of records management standards which aim to promote good practice in the management of public records throughout all stages of their life cycle. The first three standards, published in January 1998, are:
- RMS 1.1 File Creation
  - RMS 2.1 Tracking Records
  - RMS 5.1 Disposal Scheduling
  - Other standards are planned for 1999 and succeeding years.
- 5.2 A second series of booklets currently in production gives guidance on the retention of records common to most government departments. Buildings records, personal files, accounting records, and health and safety records have been covered so far and more are planned for 1999.
- 5.3 Guidance on acquisition and appraisal are the subjects of a third series of publications. The first two booklets in this series cover *Planning of Records Appraisal* and the *PRO Acquisition Policy*.
- 5.4 In the area of electronic records a major publication, *The Management and Appraisal of Electronic Records*, was issued in March 1998, with a supplementary volume following in October 1998. These publications will be consolidated in March 1999 and more booklets will follow in this series.
- 5.5 A fifth series is planned for 1999 covering Information Policy.

## ANNEX A

### Records Management Competence Framework

#### **Core Competencies**

- Knowledge and History of the Department
- Knowledge of the Government Environment
- Professionalism
- Communication and Marketing
- Teamworking
- Planning and Time Management
- IT Literacy
- Flexibility
- Customer Care

#### **Managerial Competencies**

- Coaching and Development
- Influencing
- Advice and Guidance
- Manage Performance
- Manage People
- Manage Projects
- Maintaining Standards

#### **Functional Competencies**

- Administration
- Information Policy
- Information Management
- Information Technology
- Records Management and Archival Practice
- Specialist Knowledge

## Core Competencies

| Level  | Description  |
|--|--|
| <b>Knowledge and History of the Department</b> |  |
| 1  | <ul style="list-style-type: none"> <li>• Has a basic understanding of the function and role of the department, both past and present, and can explain this to others</li> <li>• Understands departmental records section objectives and how own job contributes to these</li> <li>• Demonstrates an understanding of the key processes involved in own job</li> </ul>  |
| 2  | <ul style="list-style-type: none"> <li>• Understands and contributes to the key processes and strategy of the departmental records section</li> <li>• Understands the remit afforded to the department by legislation, both past and present</li> </ul>  |
| 3  | <ul style="list-style-type: none"> <li>• Understands and contributes to the future policy of the departmental records section and the department</li> <li>• Understands and acts on implications of past and present processes in the department</li> </ul>  |
| 4  | <ul style="list-style-type: none"> <li>• Envisions future role of departmental records within the department</li> <li>• Coaches colleagues in developing their knowledge and understanding of the history of the department</li> <li>• Works with other divisions to enhance the service provided by the departmental records section</li> </ul>   |
| <b>Knowledge of the Government Environment</b> |  |
| 1  | <ul style="list-style-type: none"> <li>• Understands how the department fits into the government framework</li> </ul>  |
| 2  | <ul style="list-style-type: none"> <li>• Understands how the policy process works</li> <li>• Is aware of the implications of government information policy on records work</li> <li>• Demonstrates own knowledge of government environment in decision making</li> <li>• Is able to generate answers to parliamentary questions</li> </ul>   |
| 3  | <ul style="list-style-type: none"> <li>• Is able to identify records implications of new government policy</li> <li>• Actively improves own understanding of the machinery of government and the decision making process</li> </ul>  |
| 4  | <ul style="list-style-type: none"> <li>• Understands changes in status and structure of government, government departments and social factors, and analyses impact on the department</li> <li>• Is able to influence the policy process outside the department</li> <li>• Is seen by others as an expert source of advice within the department on the machinery of government and the decision making process</li> <li>• Coaches colleagues to generate greater insight into government roles and organisation</li> </ul> |

## Core Competencies

| Level                              | Description  |
|------------------------------------|--|
| <b>Professionalism</b>             |  |
| 1                                  | <ul style="list-style-type: none"> <li>• Creates a positive impression of the section with clients</li> <li>• Is delivery focused</li> <li>• Responds promptly to requests for advice</li> <li>• Refers questions to experts and ensures that action is taken to resolve issues</li> </ul>   |
| 2                                  | <ul style="list-style-type: none"> <li>• Provides objective professional advice to clients</li> <li>• Communicates records policy consistently to clients and colleagues</li> <li>• Presents credibly to clients</li> <li>• Seeks to maintain current level of expertise</li> </ul>  |
| 3                                  | <ul style="list-style-type: none"> <li>• Demonstrates relevant expertise and applies this consistently in records work</li> <li>• Is up-to-date with developments in own field of expertise and applies this in own work</li> <li>• Takes ownership of client issues and ensures their successful resolution</li> <li>• Deals confidently with senior managers in other divisions</li> <li>• Coaches others in developing more professional standards</li> </ul> |
| 4                                  | <ul style="list-style-type: none"> <li>• Initiates records policy</li> <li>• Informs records policy with best practice approach</li> <li>• Creates an environment in which professional standards are role modelled and rewarded</li> </ul>  |
| <b>Communication and Marketing</b> |  |
| 1                                  | <ul style="list-style-type: none"> <li>• Is clear and precise in oral communication</li> <li>• Is clear and precise in written communication</li> <li>• Makes best use of available means of communication</li> </ul>  |
| 2                                  | <ul style="list-style-type: none"> <li>• Communicates effectively to different audiences</li> <li>• Generates interest and enthusiasm in others</li> <li>• Translates technical terms into formats appropriate for their audience</li> </ul>   |
| 3                                  | <ul style="list-style-type: none"> <li>• Considers and acts upon communication requirements of different audiences</li> <li>• Produces effective communication and marketing plans</li> <li>• Can simplify and disseminate complex information</li> <li>• Is able to interpret a brief, and create and deliver an effective presentation</li> </ul>  |
| 4                                  | <ul style="list-style-type: none"> <li>• Is an effective and inspirational speaker</li> <li>• Is persuasive and influential when conversing with others</li> <li>• Enhances communication and marketing through the development and implementation of communication and marketing strategies</li> </ul>  |

## Core Competencies

| Level                               | Description  |
|-------------------------------------|--|
| <b>Teamworking</b>                  |  |
| 1                                   | <ul style="list-style-type: none"> <li>• Provides support for colleagues on own initiative</li> <li>• Understands own and others roles within the team</li> <li>• Recognises the need for teamwork</li> </ul>  |
| 2                                   | <ul style="list-style-type: none"> <li>• Energetically pursues team targets</li> <li>• Willingly undertakes different team roles</li> <li>• Forms good working relationships with other teams</li> </ul>   |
| 3                                   | <ul style="list-style-type: none"> <li>• Builds team effectiveness</li> <li>• Sets and communicates direction for a team</li> <li>• Generates enthusiasm for team and individual goals</li> </ul>  |
| 4                                   | <ul style="list-style-type: none"> <li>• Able to select team members according to business needs and individual development requirements</li> <li>• Role models team working</li> <li>• Identifies and manages the collective responsibility of the team</li> <li>• Aims to develop the team's collective ability</li> </ul>   |
| <b>Planning and Time Management</b> |  |
| 1                                   | <ul style="list-style-type: none"> <li>• Completes tasks allocated on time</li> <li>• Understands the scarcity of the time resource and the requirement to manage it</li> <li>• Prioritises according to departmental policy</li> <li>• Manages conflicting priorities in own work</li> </ul>  |
| 2                                   | <ul style="list-style-type: none"> <li>• Plans own workload to ensure completion</li> <li>• Monitors progress against targets and takes corrective action when required</li> <li>• Accurately plans out activities according to workload requirements</li> <li>• Works methodically</li> </ul>   |
| 3                                   | <ul style="list-style-type: none"> <li>• Ensures that resources within a project or task are best deployed to meet targets</li> <li>• Delegates tasks effectively to others and ensures that they have the skills to succeed</li> <li>• Uses past experience to inform project planning and work allocation</li> <li>• Resolves priority conflicts for team members</li> </ul> |
| 4                                   | <ul style="list-style-type: none"> <li>• Allocates assignments in the most efficient way</li> <li>• Recognises the importance of making personal time available for individual person management</li> <li>• Generates options to address resource issues</li> <li>• Is solutions-focused</li> </ul>  |

## Core Competencies

| Level   | Description   |
|---|---|
| <b>IT Literacy</b>  |   |
| 1   | <ul style="list-style-type: none"> <li>• Demonstrates basic knowledge of relevant IT packages and systems *</li> <li>• Uses this knowledge to perform own work efficiently</li> </ul>   |
| 2   | <ul style="list-style-type: none"> <li>• Demonstrates good knowledge of relevant IT packages and systems *</li> <li>• Actively seeks to extend competence in information systems</li> </ul>   |
| 3   | <ul style="list-style-type: none"> <li>• Able to use relevant specialist software in the department</li> <li>• Able to use records management software packages</li> <li>• Coaches colleagues in the use of software and hardware</li> </ul>            |
| 4   | <ul style="list-style-type: none"> <li>• Identifies requirements for new, or new versions of, software applications</li> <li>• Maintains a good level of knowledge of IT developments</li> <li>• Advises colleagues on IT issues</li> </ul>             |
| <p>* - <i>relevant IT packages and systems cover:</i></p> <ul style="list-style-type: none"> <li>• <i>word processing</i></li> <li>• <i>spreadsheets</i></li> <li>• <i>databases</i></li> <li>• <i>e-mail</i></li> <li>• <i>Internet</i></li> </ul> |   |
| <b>Flexibility</b>  |   |
| 1   | <ul style="list-style-type: none"> <li>• Willing to accept changes to job content</li> <li>• Adapts personal schedule to meet critical demands and to support colleagues</li> <li>• Is responsive to client and/or client needs</li> </ul>              |
| 2   | <ul style="list-style-type: none"> <li>• Moves willingly between different jobs</li> <li>• Works easily with different people</li> <li>• Displays ability to apply policy flexibly</li> <li>• Works effectively in a changing environment</li> </ul>    |
| 3   | <ul style="list-style-type: none"> <li>• Initiates and manages change</li> <li>• Is professionally innovative</li> <li>• Demonstrates ability to alter management style to suit different situations</li> <li>• Is results orientated</li> </ul>        |
| 4   | <ul style="list-style-type: none"> <li>• Role models and encourages flexibility in others</li> <li>• Creates a flexible culture for others</li> <li>• Seeks to improve performance and the working environment through change and innovation</li> </ul> |

## Core Competencies

| Level                | Description   |
|----------------------|---|
| <b>Customer Care</b> |   |
| 1                    | <ul style="list-style-type: none"><li>• Understands the importance of ongoing customer care</li><li>• Adjusts personal style to deal with different customers</li><li>• Recognises the importance of service levels</li></ul>   |
| 2                    | <ul style="list-style-type: none"><li>• Builds relationships at a number of different levels in a customer's organisation</li><li>• Has systematic contact with customers on a regular basis</li><li>• Formulates and manages service level agreements with customers</li></ul>   |
| 3                    | <ul style="list-style-type: none"><li>• Actively solicits feedback from customers</li><li>• Ensures continuity of service levels through mentoring and coaching</li><li>• Makes every effort to ensure that customers have the necessary resources to meet required records management standards</li><li>• Monitors service levels of a number of customers</li><li>• Coaches others in customer care</li></ul> |
| 4                    | <ul style="list-style-type: none"><li>• Develops policies for achieving close and effective relationships with customers</li><li>• Actively develops relationships with customers at a senior level</li><li>• Seeks and uses feedback from customers to improve customer care</li></ul>   |

## Managerial Competencies

| Level                           | Description   |
|---------------------------------|---|
| <b>Coaching and Development</b> |   |
| 1                               | <ul style="list-style-type: none"> <li>• Takes personal responsibility for own development</li> <li>• Continuously improves personal competence in line with requirements of own job and career aspiration</li> <li>• Regularly seeks feedback on personal performance</li> </ul>   |
| 2                               | <ul style="list-style-type: none"> <li>• Regularly discusses training and development needs with staff, linking them with individual and team business targets</li> <li>• Makes arrangements for training and development and ensures that it happens</li> <li>• Actively supports staff throughout the training process and provides information about available training</li> </ul> |
| 3                               | <ul style="list-style-type: none"> <li>• Identifies potential and expertise in others</li> <li>• Measures and evaluates impact of training and development initiatives</li> <li>• Ensures individuals' knowledge is shared and captured</li> </ul>  |
| 4                               | <ul style="list-style-type: none"> <li>• Creates and encourages a culture of knowledge sharing within the department</li> <li>• Creates opportunities to enhance learning and knowledge across the department</li> <li>• Identifies and implements career development opportunities for staff</li> </ul>  |
| <b>Influencing</b>              |   |
| 1                               | <ul style="list-style-type: none"> <li>• Is able to identify the benefits of records management policies</li> <li>• Is assertive with others in ensuring understanding of key information</li> <li>• Understands and can apply own influencing styles</li> </ul>  |
| 2                               | <ul style="list-style-type: none"> <li>• Is able to describe to others the benefits of changing records management practices</li> <li>• Is able to utilise a range of persuasion techniques</li> <li>• Ensures successful implementation of records management policies</li> <li>• Recognises when to be assertive to achieve results</li> </ul>                                      |
| 3                               | <ul style="list-style-type: none"> <li>• Is able to change existing records management behaviours</li> <li>• Is able to moderate personal style with others to maximise outcomes</li> <li>• Is able to create change in records management policies throughout the department</li> </ul>  |
| 4                               | <ul style="list-style-type: none"> <li>• Facilitates inter-departmental debates on records management best practice</li> <li>• Coaches others in developing their influencing skills</li> <li>• Works to ensure that departmental records section is closely involved in the departmental decision making process</li> </ul>  |

## Managerial Competencies

| Level                      | Description  |
|----------------------------|--|
| <b>Advice and Guidance</b> |  |
| 1                          | <ul style="list-style-type: none"> <li>• Provides advice and guidance on guidelines and policies</li> <li>• Displays sensitivity to the client's situation</li> <li>• Emphasises adherence to standards</li> </ul>   |
| 2                          | <ul style="list-style-type: none"> <li>• Diagnoses, designs, delivers and reviews solutions in the context of client needs</li> <li>• Uses analytical skills to ensure an accurate diagnosis</li> <li>• Proactively identifies opportunities to provide advice</li> </ul>  |
| 3                          | <ul style="list-style-type: none"> <li>• Interprets guidelines and policies in the context of the department's records management capability</li> <li>• Reviews policy and guidelines to ensure continued relevance</li> <li>• Ensures advice and guidance is grounded in best practice</li> <li>• Is skilled at drafting policy papers</li> </ul>   |
| 4                          | <ul style="list-style-type: none"> <li>• Predicts departmental policy and guidelines, and takes action to meet these</li> <li>• Resources departmental records section to enable advice and guidance to be provided to clients according to relevant standards</li> <li>• Ensures that a capability exists within departmental records section to provide advice and guidance on all current and future records management issues</li> </ul> |
| <b>Manage Performance</b>  |  |
| 1                          | <ul style="list-style-type: none"> <li>• Contributes to the achievement of individual and team targets</li> <li>• Monitors individual performance on a regular basis</li> </ul>  |
| 2                          | <ul style="list-style-type: none"> <li>• Identifies potential risks to performance achievement and responds promptly</li> <li>• Manages the successful achievement of team targets and objectives</li> <li>• Understands how processes underlie performance</li> </ul>   |
| 3                          | <ul style="list-style-type: none"> <li>• Uses resources to maximise cost effectiveness of service provision</li> <li>• Consistently delivers targets within budget</li> <li>• Is able to develop corporate and business plans with useful measures of performance</li> </ul>   |
| 4                          | <ul style="list-style-type: none"> <li>• Manages collective performance to achieve business priorities and objectives</li> <li>• Allocates resources to ensure the achievement of business priorities and objectives</li> <li>• Manages risk in order to maintain performance levels</li> <li>• Encourages others to initiate change to improve performance</li> </ul>   |

## Managerial Competencies

| Level                  | Description  |
|------------------------|--|
| <b>Manage People</b>   |  |
| 1                      | <ul style="list-style-type: none"> <li>• Manages self and others in the completion of a task</li> <li>• Represents the needs of colleagues to superiors</li> <li>• Understands the performance management system and ensures that own contribution is valid</li> <li>• Demonstrates commitment to personal development</li> </ul>  |
| 2                      | <ul style="list-style-type: none"> <li>• Recognises and rewards good performance both formally and informally</li> <li>• Reviews individual and team performance and provides feedback</li> <li>• Forms effective working relationships</li> <li>• Delegates effectively to others</li> </ul>  |
| 3                      | <ul style="list-style-type: none"> <li>• Creates and communicates direction in a clear and consistent way</li> <li>• Enhances productive working relationships</li> <li>• Consults and communicates with others in areas of joint interest</li> <li>• Ensures people management and development support business priorities</li> </ul>   |
| 4                      | <ul style="list-style-type: none"> <li>• Creates an environment in which people are motivated and inspired</li> <li>• Creates a culture where individuals and teams own the impact of their actions</li> <li>• Provides leadership and direction during change</li> </ul>  |
| <b>Manage Projects</b> |  |
| 1                      | <ul style="list-style-type: none"> <li>• Can develop simple project plans</li> <li>• Monitors progress against objectives</li> <li>• Understands basic project management techniques</li> </ul>  |
| 2                      | <ul style="list-style-type: none"> <li>• Identifies project objectives, risks and success factors</li> <li>• Delivers projects according to time, cost and quality targets</li> <li>• Takes action where progress is not in line with objectives</li> <li>• Understands and can apply a range of project management techniques</li> <li>• Manages suppliers on a day-to-day basis</li> </ul> |
| 3                      | <ul style="list-style-type: none"> <li>• Manages complex or multiple projects</li> <li>• Manages contracts with external suppliers</li> <li>• Identifies in advance potential risks and their solutions</li> <li>• Creates, develops and manages project teams</li> <li>• Is able to negotiate satisfactory contracts with suppliers</li> </ul>  |
| 4                      | <ul style="list-style-type: none"> <li>• Is seen by others as an expert in project management</li> <li>• Generates, communicates and maintains a best practice project management model</li> <li>• Ensures deliverables are in line with business strategies</li> </ul>  |

## Managerial Competencies

| Level                        | Description   |
|------------------------------|---|
| <b>Maintaining Standards</b> |   |
| 1                            | <ul style="list-style-type: none"><li>• Understands and communicates the need for quality standards</li><li>• Able to identify and implement ideas for improved quality of service in own job</li><li>• Consistently applies records management standards</li></ul>                                   |
| 2                            | <ul style="list-style-type: none"><li>• Implements changes to quality standards</li><li>• Able to identify and implement ideas for improved quality of performance</li><li>• Recognises resource constraints in achieving quality standards</li></ul>   |
| 3                            | <ul style="list-style-type: none"><li>• Generates standards to meet departmental needs</li><li>• Promotes quality improvement throughout the department</li><li>• Seeks feedback on overall quality of service</li><li>• Monitors standards and provides management information as required</li></ul> |
| 4                            | <ul style="list-style-type: none"><li>• Promotes quality improvements in records management</li><li>• Creates a culture that promotes the need for standards</li><li>• Ensures availability of accurate quality information for management reporting</li></ul>  |

## Functional Competencies

| Level                         | Description  |
|-------------------------------|--|
| <b>Administration</b>         |  |
| 1                             | <ul style="list-style-type: none"> <li>• Is accurate and pays attention to detail</li> <li>• Follows procedures</li> <li>• Able to use basic office equipment</li> <li>• Files accurately</li> <li>• Respects and maintains the confidential nature of records and information entrusted to them</li> </ul>  |
| 2                             | <ul style="list-style-type: none"> <li>• Checks for accuracy in other people's work</li> <li>• Creates and administers simple budgets</li> <li>• Administers complex tasks successfully</li> <li>• Maintains an effective filing system</li> </ul>   |
| 3                             | <ul style="list-style-type: none"> <li>• Initiates invoices</li> <li>• Demonstrates a good working knowledge of procurement and contract management</li> </ul>   |
| 4                             | <ul style="list-style-type: none"> <li>• Allocates administrative tasks across team members</li> <li>• Monitors the administration of a number of complex tasks</li> </ul>   |
| <b>Information Management</b> |  |
| 1                             | <ul style="list-style-type: none"> <li>• Recognises and understands the differences between various types of electronic records and the systems which produce them</li> </ul>  |
| 2                             | <ul style="list-style-type: none"> <li>• Is able to supervise the inventory and audit of electronic records assemblies</li> <li>• Is able to provide basic advice on the development and application of procedures for managing electronic records</li> </ul>  |
| 3                             | <ul style="list-style-type: none"> <li>• Advises colleagues on mapping the information flows between different systems, putting the information in a business context, and assesses the implications of new systems development on electronic and paper records</li> <li>• Actively encourages colleagues to use and manage records as information assets</li> </ul>                             |
| 4                             | <ul style="list-style-type: none"> <li>• Develops an understanding within the department of government information policy and its implications for electronic records</li> <li>• Develops and maintains outside contacts to keep abreast of information management issues and techniques</li> <li>• Generates new and innovative approaches to tackling information management issues</li> </ul> |

## Functional Competencies

| Level                         | Description  |
|-------------------------------|--|
| <b>Information Technology</b> |  |
| 1                             | <ul style="list-style-type: none"> <li>• Has a basic knowledge of software and hardware applications and their usage in the department</li> </ul>  |
| 2                             | <ul style="list-style-type: none"> <li>• Has practical experience of software/systems design and the provision of ongoing support</li> <li>• Is able to generate solutions to ensure the continuing integrity of data received by the department</li> </ul>  |
| 3                             | <ul style="list-style-type: none"> <li>• Is able to develop an IT strategy for departmental records and to contribute to department-wide IT strategies</li> <li>• Demonstrates an awareness of leading edge developments in IT</li> <li>• Is able to implement an electronic document management system</li> <li>• Understands the implications of related office systems, such as workflow and image processing, for records management systems</li> <li>• Liaises with relevant IT specialists in government and industry</li> </ul> |
| 4                             | <ul style="list-style-type: none"> <li>• Generates approaches to electronic records management issues emerging from government IT strategies</li> <li>• Challenges and develops other's knowledge of IT systems and developments</li> </ul>  |
| <b>Information Policy</b>     |  |
| 1                             | <ul style="list-style-type: none"> <li>• Understands and can explain to others the implications of government information policy</li> <li>• Continuously develops own understanding of the government information policy</li> </ul>  |
| 2                             | <ul style="list-style-type: none"> <li>• Facilitates liaison with other information professionals in government departments</li> <li>• Demonstrates awareness of issues relating to the management of current information</li> <li>• Understands the implications of Data Protection and Freedom of Information legislation and can interpret and apply relevant guidelines</li> </ul>   |
| 3                             | <ul style="list-style-type: none"> <li>• Contributes to the development of departmental responses to changes in government information policy</li> <li>• Ensures that own reports understand changes in information policy</li> </ul>  |
| 4                             | <ul style="list-style-type: none"> <li>• Is consulted as an expert on information policy</li> <li>• Provides guidance and advice within the department on the implications of Data Protection and Freedom of Information</li> </ul>  |

## Functional Competencies

| Level   | Description  |
|---|--|
| <b>Records Management and Archival Practice</b> |  |
| 1   | <ul style="list-style-type: none"> <li>• Is aware of different records media and associated records management implications</li> <li>• Has a basic knowledge of document preservation and repair techniques</li> <li>• Demonstrates knowledge of best practice packaging, transfer and storage techniques</li> </ul>   |
| 2   | <ul style="list-style-type: none"> <li>• Is able to interpret and apply guidelines on the management of conventional and electronic records</li> <li>• Follows best practice records management principles in managing own records</li> <li>• Adapts records management best practice to meet departmental situations</li> </ul>   |
| 3   | <ul style="list-style-type: none"> <li>• Seeks to think creatively about the records management and archival process</li> <li>• Has a knowledge of other records repositories and their specialisms</li> <li>• Applies records management standards and best practice guidelines in storing, appraising and selecting appropriate records</li> </ul>   |
| 4   | <ul style="list-style-type: none"> <li>• Develops records management policies which reflect best practice and legislative environment</li> <li>• Is seen as an expert on records management and archives administration within the department and by external bodies</li> <li>• Uses experience and knowledge to coach others in best practice records management</li> <li>• Is involved with external bodies in the further development of best practice in records management and archives administration</li> </ul> |
| <b>Specialist Knowledge</b>                     |  |
| 1   | <ul style="list-style-type: none"> <li>• Demonstrates a basic knowledge of the subject</li> <li>• Is able to access sources for more information/greater detail</li> </ul>   |
| 2   | <ul style="list-style-type: none"> <li>• Demonstrates a good knowledge of subject, both in theory and application</li> <li>• Is able to apply knowledge to current working environment</li> </ul>  |
| 3   | <ul style="list-style-type: none"> <li>• Demonstrates an in-depth subject knowledge</li> <li>• Provides relevant and helpful advice to others</li> <li>• Shares knowledge willingly</li> </ul>   |
| 4   | <ul style="list-style-type: none"> <li>• Demonstrates a subject knowledge in breadth and depth</li> <li>• Is seen as an expert and consulted by others regularly</li> </ul>  |

## ANNEX B

### Role Profile

#### Records Manager

**Role:** develop and manage an organisation-wide records management programme designed to ensure that records practices are effectively meeting the organisation's objectives

| Competence                               | Level |
|--|-------|
| Knowledge and History of the Department  | 3     |
| Knowledge of the Government Environment  | 3     |
| Professionalism                          | 3     |
| Communication and Marketing              | 3     |
| Teamworking                              | 2     |
| Planning and Time Management             | 3     |
| IT Literacy                              | 2     |
| Flexibility                              | 3     |
| Customer Care                            | 3     |
| Coaching and Development                 | 3     |
| Influencing                              | 3     |
| Advice and Guidance                      | 3     |
| Manage Performance                       | 3     |
| Manage People                            | 2     |
| Manage Projects                          | 3     |
| Maintaining Standards                    | 3     |
| Administration                           | 2     |
| Information Management                   | 2     |
| Information Technology                   | 1     |
| Information Policy                       | 3     |
| Records Management and Archival Practice | 3     |
| Specialist Knowledge                     | 3     |

# ANNEX C

## Development Plan

**Name**  
**Date**

**Department**  
**Job Title**

| <b>Objective</b><br><i>What is my Aim?</i> | <b>Linked to</b><br><i>Why am I doing it?</i> | <b>Method</b><br><i>How am I going to do it?</i> | <b>Measures</b><br><i>How will I measure my progress?</i> | <b>Date of Completion</b> | <b>Support/Coaches</b><br><i>What help do I need?</i> |
|--|---|--|---|---------------------------|---|
|  |   |  |   |                           |   |
|  |   |  |   |                           |   |
|  |   |  |   |                           |   |