



**Complying with the Records  
Management Code: Evaluation  
Workbook and Methodology**

**Module 3: Roles, responsibilities, training and  
awareness**

## **Module 3: Roles, responsibilities, training and awareness**

### **General**

- 5.1 This module deals with the issue of the human resources required to undertake records management. It covers definition of roles, allocation of resources to undertake the roles, appointment of skilled records management staff and establishment of training programmes for their professional development, and making staff across the organisation aware of their contribution to effective corporate records management and giving them the training they need to follow records management procedures and guidance
- 5.2 The relevant workbook questions which should be used to assess the level of compliance relating to these activities commence on page 5.

### **Context and objectives**

- 5.3 The Records Management Code states that:

*A designated member of staff of appropriate seniority should have lead responsibility for records management within the authority. This lead role should be formally acknowledged and made known throughout the authority.*

*Staff responsible for records management should have the appropriate skills and knowledge needed to achieve the aims of the records management programme. Responsibility for all aspects of record keeping should be specifically defined and incorporated in the role descriptions or similar documents.*

*Human resource policies and practices in organisations should address the need to recruit and retain good quality staff and should accordingly support the records management function in the following areas:*

- *the provision of appropriate resources to enable the records management function to be maintained across all of its activities;*
- *the establishment and maintenance of a scheme, such as a competency framework, to identify the knowledge, skills and corporate competencies required in records and information management;*
- *the regular review of selection criteria for posts with records management duties to ensure currency and compliance with best practice;*
- *the regular analysis of training needs;*
- *the establishment of a professional development programme for staff with records management duties;*

- *the inclusion in induction training programmes for all new staff of an awareness of records issues and practices.*

## **Role of records managers**

- 5.4 Records management responsibilities must be clearly defined and assigned, and made known throughout the organisation.
- 5.5 The records management program has to be staffed by skilled people and access to skilled people is critical to the success of records management.
- 5.6 Organisations should be able to access records management skills internally through recruitment, training and development or, alternatively, externally through appropriately qualified consultants. In a medium to large organisation, this will require skilled records management position/s, in a smaller organisation; this may be a role with other responsibilities. The role should have a clear connection with related activities and obligations in respect of freedom of information and data protection compliance
- 5.7 Priorities for the Records Manager will be to assess the need for records management support staff and to establish a competency framework to identify the skills and knowledge required by records management staff.
- 5.8 Where the need for additional resources has been identified, measures should be implemented to ensure that the required records management support staff are in place. The responsibilities of each person undertaking records management roles should be set out in a performance agreement, role description or similar document, within one month of appointment.
- 5.9 In a large organisation where responsibilities are devolved or distributed, the organisation may require each business unit to manage its own records from within its own resources. In this environment there will still be a need to coordinate best practice across the organisation and the senior records manager charged with that responsibility will need to be empowered to set minimum standards and resource requirements which will be mandated across the organisation.
- 5.10 The identification of professional skills and knowledge will enable departments to recruit and train staff at a level which will ensure that the records management function acquires the appropriate professional standing.

## **Professional development training and competencies**

- 5.11 Training in records management policies and procedures takes place at two levels:
  - professional development for records management staff

- awareness of records issues and practices by all members of staff
- 5.12 The skills required will vary according to the nature and complexity of the public office. Skill levels should be appropriate to the complexity of the records management tasks for which staff are responsible. However staff undertaking records management should possess appropriate skills for their positions and responsibilities and these should be kept up to date.
- 5.13 All organisations will need to develop a programme of professional training for records staff. This will involve the Records Manager working with training and development staff. The programme should identify particular records management training needs in the light of the competency framework and arrange for those needs to be met, using internal and external training as appropriate.
- 5.14 It is also necessary to ensure that all induction training programmes, as well as FOI and other related training programmes, include awareness sessions on record keeping issues.
- 5.15 The professional training of records staff and the awareness by all staff of records management issues will ensure that the records management function receives the appropriate quality of support.

## **Relevant guidance**

- 5.16 Each sector may have its own sector specific rules, regulations and guidance and readers of this workbook should use such guidance when establishing a record keeping or management system.
- 5.17 For example, central government bodies should comply with the provisions of the Public Records Act 1958 local authorities should conform to *section 224* of the *Local Government Act 1972*. Police forces will need to comply with the statutory code setting out the key principles for police information management, which is being developed in response to the recommendations made by the Bichard Inquiry. NHS trusts and health authorities need to comply with *criterion 3* of the *Controls Assurance Support Unit CASU Records Management Standard* and the *Information for Social Care* framework document published in May 2001.
- 5.18 Supporting guidance has been provided by The National Archives (TNA) and is available on the TNA website <http://www.nationalarchives.gov.uk/> Although some of the earlier publications were written initially for a central government audience they are broadly relevant to any public authority required to manage its records in conformance with the Records Management Code. In particular see:
- Human resources of records management: skills required by records managers*

Which is at:

<http://www.nationalarchives.gov.uk/recordsmanagement/advice/bestpractice.htm>

- 5.19 The international standard BS ISO 15489 *Information and Documentation – Records Management Standard* is also relevant.

## Evaluating questionnaire

- 5.20 To assess whether the required elements are in place see the questions numbered 1 to 28 in this workbook, which commence in the table on the next page. These have been provided to elicit the information required for an appropriate assessment. Guidance on how to analyse the responses to these questions is provided in the chapter entitled *Risk evaluation and development of mitigation strategies*.

1.	<i>Is there a designated individual with responsibility for record management throughout the organisation?</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Reference</i>	<hr/>		
2.	<i>Is the individual a senior manager?</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Reference</i>	<hr/>		
3.	<i>Do the terms of this appointment conform with the provisions of BS ISO 15489 Information and Documentation – Records Management Standard?</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>Reference</i>	<hr/>		
4.	<i>Is this individual conversant with the requirements of the Records Management Code?</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>	N/A <input type="checkbox"/>
	<i>(Note: the Records Management Code is the short title used for the Code of Practice issued by the Lord Chancellor under section 46 of the Freedom of Information Act 2000 on the management of records)</i>			
	<i>Reference</i>	<hr/>		

5. *Have adequate resources for the effective implementation of records management been assessed and allocated?* Yes  No  N/A

*(Note: the point to assess here comprises two elements the first being - has the organisation accurately determined the level of resource needed to implement records management effectively and the second element is - if so has the appropriate level of resource been allocated to undertake the required work?)*

Reference

---

6. *Has a dedicated team been established to carry out the record management roles and duties identified in the records management policy?* Yes  No  N/A

Reference

---

7. *Has senior management's role in supporting effective records management across the organisation been defined to include responsibility for providing the required resource?* Yes  No  N/A

*(Note: in many instances this will come down to the appointment and allocation of dedicated record management staff and the allocation of sufficient time for non-dedicated staff to undertake the required work to support the record manager. In some instances it may also refer to secured budgets to pay for contractors to undertake the work and/ or acquisition of appropriate accommodation and equipment)*

Reference

---

8. *Where authority for record management has been distributed or delegated across an organisation have local record managers been appointed for each area of the business?* Yes  No  N/A

Reference

---

9. *Where local record managers have been appointed is their work and training coordinated and reviewed centrally by a senior records manager?* Yes  No  N/A

Reference

---

10. *Where local record managers have been appointed are their job descriptions reviewed centrally to ensure they are appropriate?* Yes  No  N/A

*(Note: To clarify if the organisation's response is adequate it will be necessary to ascertain that where job descriptions are reviewed centrally mechanisms also exist to ensure, at agreed intervals, the regular review of these job descriptions to confirm they remain appropriate)*

Reference

---

11. *Where local record managers have been appointed have communication channels been established for liaison between the record managers across the organisation?* Yes  No  N/A

Reference

---

12. *Where applicable has responsibility been assigned for a trusted custodian for the management of inactive records (both electronic and physical)?* Yes  No  N/A

13. *Has someone been assigned the responsibility of reviewing the organisation's record management policy at agreed intervals?* Yes  No  N/A

Reference

---

14. *Have the knowledge, skills and corporate competencies required by records management staff been identified?* Yes  No  N/A

Reference

---

15. *Has the competency framework been compared or validated against external guidance produced by recognised centres of record management expertise (e.g. Human Resources in Records Management published by The National Archives (TNA))?* Yes  No  N/A

Reference

---

16. Does the record management team possess the skills set out in this competency framework? Yes  No  N/A

Reference

---

17. Do the job descriptions of records management staff list the duties required for records management work and the appropriate level of skill identified in the competency framework? Yes  No  N/A

Reference

---

18. Are records management staff given opportunities to acquire professional qualifications or NVQs in records and information management? Yes  No  N/A

Reference

---

19. Is there provision for the regular review of training needs in records and information management? Yes  No  N/A

Reference

---

20. Are selection criteria for posts with records management duties reviewed regularly? Yes  No  N/A

Reference

---

21. Have senior managers been provided with the appropriate level of records management training to enable them to fulfill the role allocated to them by the organisation? Yes  No  N/A

Reference

---

22. Do the induction training programmes for new staff include awareness of records issues and practices? Yes  No  N/A

Reference

---

23. Have existing staff across the organisation been made aware of records issues and practices? Yes  No  N/A

Reference

---

24. *Have job descriptions been developed listing the duties and essential attributes required for personnel assigned with records management roles?* Yes  No  N/A

*Reference*

---

25. *Do job descriptions across the organisation include relevant references to record keeping duties?* Yes  No  N/A

*Reference*

---

26. *Is there a mechanism to regularly review job descriptions to ensure they remain apposite and relevant?* Yes  No  N/A

*Reference*

---

27. *Is there a process for the regular review of selection criteria for posts with records management duties to ensure currency and compliance with best practice?* Yes  No  N/A

*Reference*

---

28. *Do human resource policies and procedures address the need to recruit and retain good quality staff for the records management function?* Yes  No  N/A

*Reference*

---