TAHO
Tasmanian Archive + Heritage Office

Information Management Advice 54 Records Management toolkit for Local Government

FACT SHEET 7 - Basic Records Management - Resource Management

Introduction

This Fact Sheet is part of a sub-set of Advice 54, and focuses on the operational procedures of a records management program. Some templates are provided to assist agencies to establish and implement recordkeeping controls and procedures. Agencies with very small records operations, those who do not have dedicated RM resources, and those who have not yet implemented specialised EDRMS software, may find these Fact Sheets particularly beneficial.

Records program operations

Daily operations are the basis for the development of a procedure manual for the records team. This promotes consistency of process, and information sharing, in the event of new staff, volunteers or contractors. Procedure manuals should be regularly reviewed and updated as required to allow for organisational and procedural change. Whether paper or electronic recordkeeping systems are in place, key functions include:

- Record identification
- Record capture
- Registration
- Indexing
- Classification
- File creation and closure
- Distribution & tracking
- Search & retrieval
- Access
- Security
- Storage
- Scheduling, retention & disposal
- Records transfer
- e-discovery & Disposal Freezes
- Vital Records
- Disaster Management
- QA & Auditing
- Monitoring (program, processes and people) & reporting on activities, performance and compliance
- Resourcing

Tools you may need

- Business review documentation

- Position descriptions
- Dedicated budget
- Procedure manuals & business rules
- Strategic & Operational plans
- Skills analysis
- Skills audit
- Training & Development plans
- Position Descriptions/Statements of Duties

Effective information and records management depends on having both the technical and human resources to do the job. For records management programs to be effective, they need to be supported by appropriate resources, and individuals with the qualifications, experience and skills necessary to undertake the various roles.

A crucial element of a records management program, is the adequate allocation and ongoing monitoring of appropriate resources, sufficient to an individual agency's business requirements. Business benefits that may be expected include:

- Ability to mitigate risks associated with poor records management practice
- Compliance with statutory requirements under the *Archives Act 1983* and the *Local Government Act 1993*
- Ability to streamline business processes through the application of workflow
- Appropriate, legal and timely disposal of records, and
- Records and information assets protected from disaster.

Records management staff must be appropriately skilled, through experience and training, in order to successfully undertake the range of records management activities required. These skills must be updated to ensure staff capabilities and awareness remains current, and a regular evaluation of RM resourcing is recommended. RM practitioners and senior management should work together to identify any gaps that exist within current structures, including skill deficiencies. Inadequate resourcing, resulting in poorly managed records management systems and programs, increases risks to agencies and inefficient use of staff time.

The importance of, and differences between, the roles of information technology and records management, needs to be recognised and acknowledged. Records Management concentrates on the management of records and content, in line with legislative and business requirements and community expectations, using the technological infrastructure and service mechanisms provided by Information Technology.

The role of the Records (and Information) Manager

Information and records management is a dynamic profession. As the environment undergoes changes in terms of information legislation and technological advances, information and records managers should be continually updating their skillset through both formal and informal training in order to remain relevant.

Information and records managers are responsible for the strategic coordination of information resources across their agencies. Information resources include information in physical and digital formats. They must be aware of what information is being created in their agency and where it is located, as well as managing access, ensuring security and providing practical advice to agency staff.

Information and records managers are responsible for:

- evaluating their agencies' information and records management requirements
- advising on efficient information and records management practices
- developing whole-of-agency information and records capability
- developing whole-of-agency information governance
- ensuring all systems that create and/or store records are compliant with TAHO's requirements and that records are available as corporate assets
- ensuring that both structured and unstructured data (eg email) is discoverable and reusable
- ensuring that records are destroyed or transferred to TAHO when no longer required for business purposes
- ensuring the agency complies with the *Archives Act 1983*
- helping to respond to information access requests, for example, under *Right to Information Act 2009* (RtI), requests associated with Personal information (*Personal Information Protection Act 2004*), or e-discovery requirements
- monitoring and communicating information risks

Information and records managers need to understand their agencies' business information needs, have experience with people and project management and be adaptable to the changing needs of their organisation. A skilled information and records manager can help their agency understand and make better use of its information, comply with statutory obligations, and enhance innovation and corporate knowledge.

Given the highly regulated environment in which they work, there are a number of characteristics an Information and records manager within a government agency should possess. They need to:

- understand the business requirements of their agency, including relevant legislation and standards
- be able to analyse their agency's business or businesses
- be very familiar with modern information and records management principles and practice, including creation, capture and storage of information and records
- identify the needs of their agency to develop information and records capability
- communicate effectively with staff at various levels within their agency
- project manage the provision of resources for information and records management
- understand and influence the digital capabilities of business systems used across their agency

A skilled information and records manager is a critical element of every Government agency. Information is a valuable asset and, like assets such as vehicles, buildings or money, requires a skilled person or team to manage it.

Determining training needs – some helpful tools (skills analysis, skills audit and gap analysis)

Often RM associated projects will incorporate a skills assessment element, in order to ensure the project has adequately skilled resources available. A similar approach can be used when undertaking a skills assessment of your current RM program, or determining the requirements of a new program. Steps may include some or all of the following:

- Skills analysis
- Skills audit
- Analysis of skill gaps
- Evaluation or re-evaluation of positions

- Recruitment of skilled staff
- Hire of trained consultants
- Training needs analysis of existing staff
- Implementation of training program for existing staff and/or
- Re-examination of skill needs and existing skills.

A skills **analysis** should be conducted periodically in order to ensure the agency has the necessary knowledge and skills for its business to run smoothly, supported by an effective records management program. A skills analysis is a process to identify what skills the organisation actually requires to meet its business objectives. Suggested triggers for commencing a skills analysis may include:

- When the agency's strategic plan is revised, incorporating new objectives requiring different skills and knowledge to achieve,
- When the agency is subject to internal restructuring, involving the transfer of skilled personnel into different administrative areas,
- At the introduction of new or enhanced technologies and systems, bringing with them different requirements of records professionals,
- Upon the introduction of new requirements from legislative directives or other sources that impact on recordkeeping

The usual outcome of a skills analysis is a register of the skills required to meet corporate goals. By documenting tasks and the required skills, and allocating the skills to specific positions, performance benchmarks (competency profiles) can be ascertained for the officers assigned to the role.

A skills **audit** involves identifying the skills and knowledge (both used and latent) held by existing staff within the agency. The outcomes of a skills audit can then be used to identify any existing gaps between the skills and knowledge **requirements** of the agency (as identified by the skills analysis), and the actual skills that exist.

Methods for assessing staff skill and knowledge may include:

- Researching existing training records and outcomes
- Observing staff performance in their roles, and output quality
- Conducting interviews (may include performance reviews)
- Running group activities that highlight skills such as teamwork, problem solving, communication, etc
- Using self-assessment surveys or SWOT analysis to find out what staff perceive as their strengths, weaknesses and opportunities for self-development,
- Using surveys to discover what supervisors or peers perceive about the strengths/weaknesses of the individual
- Hiring an external assessor to perform an assessment against developed competency standards

By comparing the outcomes of a skills analysis and a skills audit, highlighting any gaps assists in the development of strategies for upskilling, cross training, and sourcing of additional skillsets (including determining the availability of consultants, and developing a register of resources for specialised work), and subsequently mitigating associated risk.

Recruitment, training & professional development

The agency should be able to access records management skills internally through appropriate recruitment, training and development opportunities. For smaller agencies, additional specialist skills may also be sourced

externally 'on demand' from qualified consultants, networking with other agencies (eg. shared service models) or liaison with TAHO or professional industry associations eg. RIMPA, ASA, etc. Membership, whether corporate or individual, of industry associations should be encouraged and supported, providing access to additional professional development opportunities.

The professional nature of records management demands a formal and structured theoretical understanding combined with practical knowledge and experience. Ongoing updated 'refresher' training should be encouraged for staff with limited recordkeeping responsibilities, and **required** for any staff holding a specialist records management role. Specialist records management staff must have formal records management training to ensure high quality RM leadership in departments – anything less would undermine the agency's capacity to carry out an effective Records Management program. Annual professional development requirements should be incorporated into learning and development plans. Specialist staff should also be actively encouraged to participate in industry forums, TAHO forums, and reference groups in order to stay informed of new and emerging trends, practice and technology.

In addition to formally recognised qualifications available from tertiary education institutions, TAHO provides a training program for records management staff in conjunction with the Training Consortium.

If the skill/ knowledge gap is…	then a relevant TAHO course/s would be…
Basic concepts and practices of records management	Records Management Introduction (TAHO)
Classifying records	Records Management Introduction (TAHO)
Storing records appropriately	Records Management Introduction (TAHO)
How records disposal works	Disposal Procedures (TAHO)
Providing access to records under legislative requirements	Records Management Introduction (TAHO)
Classifying and titling records using a functional thesaurus	Records Management Introduction (TAHO)
Using a retention and disposal schedule	Disposal Procedures (TAHO)
Boxing and listing records for transfer	Disposal Procedures (TAHO)
Developing a business classification scheme and thesaurus for records titling/control	Records Management Introduction (TAHO)
Identifying vital records	Records Management Introduction (TAHO)
Conducting a risk assessment for records	Disposal Procedures (TAHO)
Developing a retention & disposal schedule for unique business functions	Developing an Agency Disposal Schedule (TAHO)
Strategies for managing electronic records	Digital Recordkeeping on a Shoestring budget (TAHO)
Developing records management policy and procedures	Records Management Introduction (TAHO)

The scheduled courses are supported by the various Guidelines and Advices developed by the Government Information Strategy Unit team, available from the GISU website.

Roles and Responsibilities

In the Appendices following this document are some common tasks performed within Records management programs, grouped into basic positions with associated tasks/responsibilities. Other related roles may include Information Management Coordinator, Records & Information Management Strategist, EDRMS Project

Manager, Chief Information Officer, Records Management Trainer, Information Governance Officer, depending on the size of the agency and the maturity of its Records Management program and associated frameworks.

Note that accurate classification/banding information has not been provided. This is intentional, as pay grades/position classification may change over time. Agencies are advised to consult with their HR practitioners to research appropriate and current industry standards when undertaking recruitment exercises.

Recommended Reading

National Archives of Australia, *Qualifications, Skills & Knowledge*[1]

Records and Information Management Professionals Australasia (RIMPA)[2]

Australian Society of Archivists[3]

Appendices

Sample roles & responsibilities (Appendix 1)

Sample Self-assessment Questions (Appendix 2)

Sample PD – Records Officer (Appendix 3)

Sample PD – Records Manager (Appendix 4)

Sample duty roster – Mail clerk (Appendix 5

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[1] http://www.naa.gov.au/records-management/development/qualifications/index.aspx
[2] http://www.rimpa.com.au/
[3] http://www.archivists.org.au/

Further Advice

For more detailed advice, please contact:

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Acknowledgements

- National Archives of Australia, *Digital Information and records management capabilities – Skills and knowledge for Australian Government employees*.[4]
- Australian Standard *AS ISO 15489.1* & *Guidelines 15489.2* [5]
- NSW State Records *Standard on managing a records management program*[6]
- NSW State Records Guideline 17 *Building Better Records Management Skills*
- State Records of South Australia *Adequate Records Management Resourcing Guideline and Toolkit*
- RIMPA *Statement of Knowledge Tasks Competencies Salaries of Recordkeeping professionals October 2010*[7]

Information Security Classification

This document has been security classified using the Tasmanian Government Information Security classification standard as PUBLIC and will be managed according to the requirements of the Tasmanian Government Information Security Policy.

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1.0	March 2014	Sam Foster-Davies	Initial Release	All

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[4] http://www.naa.gov.au/records-management/development/qualifications/index.aspx
[5] http://www.saiglobal.com/Information/Standards/
[6] http://www.records.nsw.gov.au/recordkeeping/rules/standards/records-management
[7] Statement of Knowledge Tasks Competencies Salaries of Recordkeeping professionals October 2010

Amendments in this Release

Section Title	Section Number	Amendment Summary
All	All	Document imported into new template

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Appendix 1 - Sample Roles & Responsibilities : Records officer

Responsible for assisting the Records Manager with the administration of the agency's records management program. Includes the management and maintenance of files, records and correspondence.

Classification	Description
Level A/Trainee	- Basic knowledge of administrative practices and procedures - Ability to perform general administrative and filing procedures - Ability to assist with the management and maintenance of records and correspondence - Maintain discretion and confidentiality - Perform general searches of records - Ability to undertake efficient retrieval of records - Ability to plan, prioritise and organise work to meet deadlines
Level B	- Knowledge of administrative and records management practices and procedures - Ability to perform records management practices including creation, capture, classification and retrieval of records according to an agency thesaurus - Ability to classify incoming and outgoing correspondence - Ability to undertake basic auditing maintenance requirements of EDRMS - Experience in undertaking efficient search and retrieval of records - Ability to work successfully under limited supervision
Level C	- Experience in the creation, capture, classification and appraisal of records according to agency thesaurus - Sound knowledge of records management practices - Ability to sentence records against general and functional disposal schedules - Ability to archive records in accordance with TAHO transfer requirements - Provide advice and assistance on records management and disposal to the agency and customers

Level D	- Experience in the development and application of procedures, programs and tools which support the organisation's records management strategy - Exercise administrative responsibility for recordkeeping activities - Undertake minor projects which impact agency operations but have limited management significance - Exercise initiative and judgement where procedures are not clearly defined - Identify specific or desired performance outcomes - Experience in interpreting legislation or standards relevant to records or information management - Experience in successfully implementing and managing a records management program

Sample Roles & Responsibilities: Records Manager

Responsible for developing, implementing, maintaining and monitoring an agency's records management program, in line with organisational policy and legislative requirements.

Classification	Description
Level D	Experience in the development, implementation and maintenance of a records management program specific to the agency needs (includes policy, standards, etc)
	Experience with implementing and maintaining an EDRMS
	Provide advice and consultative services to organisational staff and senior management regarding RM practices
	Develop and/or deliver internal records management training for organisational staff
	Provide advice or input into the development of induction programs to ensure the inclusion of records management
	Evaluate current recordkeeping programs and evaluate/identify systems for ongoing development and continuous improvement
Level E	Develop records management tools including BCS, thesaurus, RDS etc with limited direction
	Provide advice on the development and use of complex recordkeeping tools (eg thesaurus)
	Approve tool documentation to ensure recordkeeping requirements are bring met
	Control and coordinate agency's recordkeeping operations
	Identify recordkeeping issues/problems and plan for resolution
	Contribute to the development of recordkeeping policy and business processes
	Provide RM consultancy services to Executive, EDRMS users, agency stakeholders and customers
Level F	Develop and deliver a comprehensive range of training programs to staff agency-wide including Executive
	Interpret and review agency operations to determine effectiveness
	Provide advice on the application of access policy
	Develop, implement and evaluate a strategic information and records management program in line with agency operational plan
	Manage the strategic outputs including associated human and financial resources to deliver corporate goals
	Undertake analysis, lead innovation and find solutions to complex recordkeeping, EDRMS and cultural issues under limited direction
	Assist with the development and implementation of records management and systems training programs

Level G	Initiate, formulate and implement strategic records management policies and procedures
	Provide strategic and expert advice on EDRMS and records and information management options
	Apply analytical, quantitative and research skills to develop innovate and creative records and information management solutions and strategies
	High level of understanding of a range of legislation and policies
	Initiate and formulate agency records management programs
	Implement, coordinate and deliver agency records management programs

Sample Roles & Responsibilities: Archivist

Responsible for contributing to the proper physical and intellectual management of the agency's archival collection, including the disposal, arrangement, description, storage and preservation of State Records to mandated standards.

Classification	Description
Level C	• Sentence and dispose of official records in accordance with current and approved disposal schedules • Assist with the professional arrangement and description of inactive official records • Transfer inactive records of permanent value to TAHO and temporary value records to an approved storage provider (ASSP) • Provide advice and support to the agency on a range of archival matters • Assist with projects that require the development and achievement of agreed objectives related to archiving • Contribute to the development of policies and procedures in relation to archives management
Level D	• Ensure that inactive official records are professionally sentenced, described, arranged, stored and preserved in accordance with TAHO standards • Provide high level advice and support to the agency on a range of complex archives management matters • Plan for, and deliver projects that require the development and achievement of agreed objectives related to archiving • Develop policies and procedures in relation to archives management

Sample Roles & Responsibilities: EDRMS Administrator

Classification	Description
Level D	• Provide business and application systems support to the agency • Maintain and administer business information system/s • Maintain user manuals, technical documentation, policies and procedures in line with business systems used • Contribute to the development of new business processes • Deliver systems training/support to end users
Level E	• Provide advice and business and application systems support of some complexity • Develop and/or deliver training programs for agency users of business systems • Develop appropriate user manuals, technical documentation, policies and procedures in line with business systems • Develop, coordinate and implement specialist projects • Business analyst skills – business process engineering, EDRMS analysis, solution architecture • Software/database integration with other business systems • Develop networks with information system providers • Contribute to the development of new business processes and policies • Provide advice on complex issues
Level F	• Provide high level advice and support for a range of business information systems and policy matters • Manage and monitor contracts for third party vendors • Develop, implement and evaluate specialist projects • Control & coordinate the appropriateness of the agency's business information systems • Provide leadership and strategic direction in the management and administration of business information systems

Appendix 2 - Sample Self-Assessment Questions

Competency	Strongly Agree	Agree	Disagree	Strongly Disagree	Evidence of competence	Need or desire for further skills development / training
Knowledge						
1. I have a good knowledge and understanding of the agency's policies, strategies and procedures for recordkeeping						
2. I have a good knowledge of the agency, its culture and structure, business and the activities that it performs						
3. I have a good knowledge of relevant legislation that affects our business operations.						
4. I have a good knowledge of the agency's records and archives systems, both paper and electronic						
5. I have a good knowledge of recordkeeping concepts, principles and processes.						
6. I have a good knowledge of how to retrieve records in my agency.						
7. I have a good knowledge of my agency's security and access procedures for records.						
8. I have a good knowledge of how to use a records thesaurus in my agency.						
9. I have a good knowledge of how to develop and use a retention and disposal schedule for my agency.						
10. I have a good knowledge of organisational procedures in transferring records to offsite storage						

Competency	Strongly Agree	Agree	Disagree	Strongly Disagree	Evidence of competence	Need or desire for further skills development / training
and to TAHO.						
11. I have a good knowledge of what records are vital to my agency and would need to be saved if we had a disaster.						
Skills						
12. I can provide efficient responses to customer requests for records and use sensitivity and discretion when dealing with customers.						
13. I am skilled in training and teaching others in our records management procedures.						
14. I am able to read and interpret records in order to decide on file titles and apply access and security rules and conditions						
15. I am skilled in my use of the [records management software/file register].						
16. I can operate appropriate equipment for moving records.						
Additional questions for Team Leader/Manager						
Knowledge						
17. I have a sound knowledge of how to determine requirements for making and keeping records, and ensure these are built into business systems and organisational procedures						
18. I am able to analyse records management needs and activities to determine improvements required.						

Competency	Strongly Agree	Agree	Disagree	Strongly Disagree	Evidence of competence	Need or desire for further skills development / training
19. I am able to write precise plans and reports on records management activities.						

Other training needs	Comments
20. Is there any other instruction or training you need to perform your records management duties competently?	
Recognition of prior learning	**Comments**
21. What training in records management or related activities have you attended within the last 3 years?	
22. What training or skills in records management or related activities have you acquired outside your current job that might be relevant to the whole organisation?	

Appendix 3 - Sample position description - Records Officer

POSITION TITLE: Records Officer

POSITION NO:

CLASSIFICATION:

GRADE:

BUSINESS UNIT:

1. PURPOSE OF POSITION/POSITION OBJECTIVE

The purpose of this position is contribute to the efficient operation of the organisation's records management program in order to support business and meet regulatory and best practice requirements for recordkeeping and records management.

2. DEPARTMENTAL RELATIONSHIPS

Reports to: [Records Manager]

Supervises: Nil direct reports.

Internal liaison:

External liaison:

3. ORGANISATIONAL CONTEXT

The Records Officer position is located in the [Corporate Services Division]. The [Corporate Services Division includes three branches: the Finance, Human Resources and Information and Communication Branches].

The [Information and Communications Branch] manages the organisation-wide information and communication functions of the organisation.

The key functions of the Branch are:

- management, development and support of IT infrastructure and assets
- technical management and development of the organisation's web site and Intranet
- coordination and management of publishing
- data administration

- library and information services, and
- records management.

The records management unit administers the organisation's records management program, including the provision of customer services to staff and external clients. It manages the creation, capture, storage, access and disposal of corporate records, and runs training and educational programs to raise awareness of staff responsibilities for recordkeeping.

There are [four] Records Officer positions reporting to the [Records Manager]. They perform a number of the day-to-day tasks associated with the provision of a records management service and with meeting legislative requirements and policy, standards and codes of best practice to which the organisation is subject.

NATURE AND SCOPE OF POSITION

A. WORK PERFORMED

The Records Officer position has four major components:

- Classifying, registering and tracking records and information about records within the records system

[This work is performed so that all relevant records of official business are captured and managed accountably using corporate records systems. It involves the selection of appropriate classification information, the registration of records by updating the organisation's corporate records system with the necessary data (including metadata), and the monitoring of records movement and use using methods such as file audits].

- Identifying records that are subject to the disposal program and safely transferring or securely disposing of the records

[This work is performed as part of the organisation's ongoing records disposal program. It involves consultation with records users, organisation of records according to status, and sentencing of records using the organisation's retention and disposal authorities. It also requires the records officer to maintain up to date documentation of disposal activity, and involves some physical lifting and moving of records].

- Receiving requests for records and delivering the record or information about records

[This work is performed so that staff of the organisation access to up to date organisational information from records at all times. The records officer searches and retrieves data from the records control system, ensures organisational security and confidentiality restrictions on records are abided by, and retrieves and delivers records to staff, in either physical or electronic formats].

- Maintaining the records of the records system in good order on a day to day basis, including the work to gather together records that are subject to record system updates, to perform those updates and to retrieve reports from the system in response to a request.

[This work is performed so that the organisational records system is up to date and has integrity at all times. It involves ongoing maintenance of the system, testing for system errors and producing periodic reports from the system].

B. CHALLENGES AND PROBLEM SOLVING

There are a range of challenges and situations in this position requiring problem-solving skills. These include:

- choosing relevant terms from the organisation's functional thesaurus to classify records covering a range of issues
- assessing records and choosing appropriate disposal actions from disposal schedules in order to sentence them
- using the full functionality of the records system
- fixing problems with the records system in liaison with software suppliers
- keeping information in the records system current and accurate
- assisting in the education of users about their responsibilities for records management
- liaising with users regarding the disposal of records and the identification of vital records when the users are not familiar with records practices or methods; and analysing that information effectively
- managing projects for the physical transfer or disposal of records
- providing high quality and timely services to users within tight timeframes and with limited resources
- recommending actions to the [Records Manager] and [Senior Management/CIO/Executive] as to how the organisation might better comply with legislative and other responsibilities.

C. DECISION - MAKING

The position holder routinely makes decisions on matters such as:

- prioritising his / her own workload
- which incoming material should be treated as records
- the application of the organisation's thesaurus when titling files, and
- the determination of the disposal status of records
- the application of security or access restrictions to records.

The position holder makes recommendations to the supervisor on:

- changes needed to the records system
- data collected about records disposal and the identification of vital records
- projects to relocate or move records
- appropriate terms for inclusion in a revised thesaurus
- appropriate appraisal decisions as part of the development of a draft disposal authority
- appropriate changes to storage areas and facilities for records
- suggestions for the records management program as part of strategic and operational planning.

D. COMMUNICATION

The position holder is involved in communication with people from a wide range of organisations, levels and backgrounds, including:

- [the Records Manager] (the position's supervisor)
- other Records Officers
- other staff within the Information and Communications Branch
- organisational staff – with regard to the use of records management system/s and program services and in order to implement disposal and identify vital records
- staff at Tasmanian Archives and Heritage Office (TAHO) when transferring records or requesting retrievals,
- suppliers of equipment, stationery and other materials for records management activities.

E. KEY ACCOUNTABILITIES AND EXTENT OF AUTHORITY

The accountabilities associated with this position are:

- provide a records management service to organisational staff and external clients
- ensure that physical and electronic records can be identified and retrieved quickly and easily when needed
- ensure that information in records systems is accurate and up to date
- ensure that records are disposed of lawfully and efficiently and in accordance with organisational deadlines
- ensure that records are transferred or relocated appropriately when required
- maintain appropriate levels of discretion and confidentiality regarding corporate information
- assist [the Records Manager and Executive] to implement requirements contained in legislation, policy, standards and codes of best practice

- assist [the Records Manager] to monitor and report to the Executive on the operation of the records management program.

F. KNOWLEDGE, SKILLS AND EXPERIENCE

Knowledge

The position requires knowledge of:

- relevant legislation, policies, strategies and procedures
- business functions and activities and records classification methods
- manual and automated records and archives systems
- recordkeeping concepts, principles and processes
- records appraisal, disposal and approval processes and retention and disposal authorities.
- methods for identifying vital records
- issues in relation to the transfer of custody, ownership and/or responsibility for records
- security and access issues for records

Skills

The position requires the following skills:

- sound interpersonal skills
- customer service skills including an ability to respond efficiently to customer requests and use sensitivity and discretion when dealing with customers.
- time management, and the ability to prioritise and meet deadlines
- sound judgement and discretion with confidential information
- accuracy and attention to detail
- skill to read and interpret records in order to classify them, apply retention and disposal authorities and access and security rules and conditions
- skill in the use of relevant technology
- good written communication skills with the ability to write precise reports on records management activities
- skills in operating appropriate equipment for moving, storing and management of records.

Qualifications and Experience

Essential

The position requires experience in the management of records, including the use of records management software

Desirable

Relevant TAFE or university qualifications

Experience in the management of records in the electronic environment

Experience in the implementation of classification schemes

Experience in the use and application of disposal schedules, and disposal authorities

Experience in the use and application of thesauri

Experience in training/education of staff in regards to their recordkeeping responsibilities.

Appendix 4 - Sample position description – Records Manager

POSITION TITLE: Records Manager

POSITION NO:

CLASSIFICATION:

GRADE:

BUSINESS UNIT:

1. PURPOSE OF POSITION/POSITION OBJECTIVE

The purpose of this position is ensure the efficient operation of the organisation's records management program, in order to support business and meet regulatory and best practice requirements for recordkeeping and records management.

2. DEPARTMENTAL RELATIONSHIPS

Reports to: [Position]

Supervises: [Positions].

Internal liaison:

External liaison:

3. ORGANISATIONAL CONTEXT

The Records Manager is located in the [Corporate Services Division]. The [Corporate Services Division includes three branches: the Finance, Human Resources and Information and Communication Branches].

The [Information and Communications Branch] manages the organisation-wide information and communication functions of the organisation.

The key functions of the Branch are:

- management, development and support of IT infrastructure and assets
- technical management and development of the organisation's web site and Intranet
- coordination and management of publishing
- data administration
- library and information services, and
- records management.

The records management unit administers the organisation's records management program, including the provision of customer services to staff and external clients. It manages the creation, capture, storage, access and disposal of corporate records, and runs training and educational programs to raise awareness of staff responsibilities for recordkeeping.

The Records Manager is responsible for [four] Records Officers. They perform a number of the day-to-day tasks associated with the provision of a records management service and with meeting legislative requirements and policy, standards and codes of best practice to which the organisation is subject.

NATURE AND SCOPE OF POSITION

A. WORK PERFORMED

The Records Manager position has four major components:

- Define recordkeeping framework

[This work involves the establishment and maintenance of the Agency's records management program. This includes analysis and monitoring of the regulatory and business environment in which recordkeeping occurs; analysis of risk associated with business areas; specification of the Agency's recordkeeping requirements and the assignment of responsibilities for aspects of the program].

- Plan management of records over time

[This work requires the Records Manager to determine strategies for the storage of records and their protection from harm or deterioration into the future. It also involves devising strategies for the long term management of electronic and other equipment or technology-dependent records over time. The Records Manager is required to prepare planning documentation for records in accordance with business and TAHO requirements].

- Develop recordkeeping policy

[This work involves the revision of existing Agency policy on records management and recordkeeping and/or the development of new policy. Policy is developed based on an understanding of recordkeeping behaviours, risks and corporate culture. The Records Manager is required to consult widely with stakeholders as part of the development of policy].

- Manage and monitor a records system

[This work involves establishing performance targets for the operation of Agency recordkeeping systems, and the monitoring of recordkeeping systems performance over

time. This includes the identification of problems and timely response to identified problems].

B. CHALLENGES AND PROBLEM SOLVING

There are a range of challenges and situations in this position requiring problem-solving skills. These include:

- formulate a recordkeeping framework taking into account users' needs, technological requirements, budget and resource constraints for nominated time frame
- analysing and interpreting legal and regulatory requirements in order to define recordkeeping requirements
- analysing risk associated with business activities in order to define recordkeeping requirements
- identifying critical indicators of recordkeeping system performance
- rectifying recordkeeping system problems with appropriate system changes

C. DECISION - MAKING

The position holder routinely makes decisions on matters such as:

- prioritising his / her own workload
- acceptable performance levels in the recordkeeping system and appropriate solutions for problems identified
- responsibilities for record creation and capture
- the priorities of the records management program for planning purposes, and
- storage and custody arrangements for current, semi-current and archival records

The position holder makes recommendations to the supervisor on:

- long term records management program objectives
- records management program budgetary requirements and
- Agency records and information management policy

D. COMMUNICATION

The position holder is involved in communication with people from a wide range of organisations, levels and backgrounds, including:

- the [Chief Information Officer] (the position's supervisor)
- Records Officers
- other staff within the [Information and Communications Branch]
- organisational staff
- vendors

- staff at Tasmanian Archives and Heritage Office (TAHO)
- suppliers of equipment, stationery and other materials for records management activities.

E. KEY ACCOUNTABILITIES AND EXTENT OF AUTHORITY

The accountabilities associated with this position are:

- ensure a quality records management service is provided to organisational staff and external clients
- ensure that Agency business is adequately documented through recordkeeping
- ensure the Agency's legislative and compliance requirements under the *Archives Act 1983* are met
- plan and prioritise work in the records management program
- ensure records management policy and procedures are accurate and up to date at all times
- manage records storage arrangements in an accountable and cost effective manner
- ensure that records generated in the Agency's electronic business systems including email are captured and managed appropriately.

F. KNOWLEDGE, SKILLS AND EXPERIENCE

Knowledge

The position requires knowledge of:

- performance management principles and processes
- workflow and business re-engineering principles and practices
- environmental influences on the agency
- budget planning and preparation methods
- records management outsourcing and contract negotiation
- relevant legislation, policies, strategies and procedures
- the business functions, activities and processes of the agency
- recordkeeping concepts, principles and processes
- recordkeeping risk management techniques
- records appraisal, disposal and approval processes and retention and disposal authorities.
- issues in relation to the transfer of custody, ownership and/or responsibility for records
- security and access issues for records

Skills

The position requires the following skills:

- analysing and interpreting legal and regulatory requirements
- analysing business functions and processes
- performance measurement
- negotiation
- risk assessment
- problem solving

Qualifications and Experience

<u>Essential</u>

Experience in the management of small team

Experience in budgeting

Relevant TAFE or university qualifications

Experience in the management of records including in an electronic environment

Experience in the implementation of classification schemes, disposal authorities and thesauri

Experience in development and delivery of training packages / education of staff in usage of records systems and recordkeeping responsibilities

Experience in project management

<u>Desirable</u>

Experience in contract management

Certificate IV in training

Sample Weekly Duty Roster – Part Time Mail Clerk

Time	Monday	Tuesday	Wednesday	Thursday	Friday
8.15	Collect Mail/run mail through auto-opener	Collect Mail/run mail through auto-opener	Collect Mail/run mail through auto-opener	Collect Mail/run mail through auto-opener	Collect Mail/run mail through auto-opener
8.30	Open Mail & sort into mail/cheques/invoices (may also include direct debits/rates return to sender).	Open Mail & sort into mail/cheques/invoices (may also include direct debits/rates return to sender).	Open Mail & sort into mail/cheques/invoices (may also include direct debits/rates return to sender).	Open Mail & sort into mail/cheques/invoices (may also include direct debits/rates return to sender).	Open Mail & sort into mail/cheques/invoices (may also include direct debits/rates return to sender).
8.45	Date stamp invoices & cheques. Collate mail for sentencing. Sort unopened mail to department baskets for delivery.	Date stamp invoices & cheques. Collate mail for sentencing. Sort unopened mail to department baskets for delivery.	Date stamp invoices & cheques. Collate mail for sentencing. Sort unopened mail to department baskets for delivery.	Date stamp invoices & cheques. Collate mail for sentencing. Sort unopened mail to department baskets for delivery.	Date stamp invoices & cheques. Collate mail for sentencing. Sort unopened mail to department baskets for delivery.
9.00	Retrieve File requests from file room	Retrieve File requests from file room	Retrieve File requests from file room	Retrieve File requests from file room	Retrieve File requests from file room
9.15	Deliver cheques, invoices & hard copy file requests Collect items from courier basket for distribution to department baskets (in Records) Collect DX mail (outgoing) from Finance	Deliver cheques, invoices & hard copy file requests Collect items from courier basket for distribution to department baskets (in Records) Collect DX mail (outgoing) from Finance	Deliver cheques, invoices & hard copy file requests Collect items from courier basket for distribution to department baskets (in Records) Collect DX mail (outgoing) from Finance	Deliver cheques, invoices & hard copy file requests Collect items from courier basket for distribution to department baskets (in Records) Collect DX mail (outgoing) from Finance	Deliver cheques, invoices & hard copy file requests Collect items from courier basket for distribution to department baskets (in Records) Collect DX mail (outgoing) from Finance

9.30	Second Mail Collection & DX Mail delivery/collection	Second Mail Collection & DX Mail delivery/collection	Second Mail Collection & DX Mail delivery/collection	Second Mail Collection & DX Mail delivery/collection	Second Mail Collection & DX Mail delivery/collection
9.45	Open collected mail (Aust Post & DX) & sort/stamp invoices and cheques	Open collected mail (Aust Post & DX) & sort/stamp invoices and cheques	Open collected mail (Aust Post & DX) & sort/stamp invoices and cheques	Open collected mail (Aust Post & DX) & sort/stamp invoices and cheques	Open collected mail (Aust Post & DX) & sort/stamp invoices and cheques
10.00	Scanning of second collection mail/DX items	Scanning of second collection mail/DX items	Scanning of second collection mail/DX items	Scanning of second collection mail/DX items	Scanning of second collection mail/DX items
10.15	Registration of documents to file – post actioned **(Health/Rates/etc)**	Registration of documents to file – post actioned **(Health/Rates/etc)**	Registration of documents to file – post actioned **(Health/Rates/etc)**	Registration of documents to file – post actioned **(Health/Rates/etc)**	Registration of documents to file – post actioned **(Health/Rates/etc)**
11.00	Delivery & collection to all departments	Delivery & collection to all departments	Delivery & collection to all departments	Delivery & collection to all departments	Delivery & collection to all departments
11.15	Unload trolley & sort collected items to department baskets (in Records) Book hard copy files back in to records (in EDRMS) and return to shelves in file room	Unload trolley & sort collected items to department baskets (in Records) Book hard copy files back in to records (in EDRMS) and return to shelves in file room	Unload trolley & sort collected items to department baskets (in Records) Book hard copy files back in to records (in EDRMS) and return to shelves in file room	Unload trolley & sort collected items to department baskets (in Records) Book hard copy files back in to records (in EDRMS) and return to shelves in file room	Unload trolley & sort collected items to department baskets (in Records) Book hard copy files back in to records (in EDRMS) and return to shelves in file room
11.30	Registration of documents to file – post actioned **(Health/Rates/etc)**	Registration of documents to file – post actioned **(Health/Rates/etc)**	Registration of documents to file – post actioned **(Health/Rates/etc)**	Registration of documents to file – post actioned **(Health/Rates/etc)**	Registration of documents to file – post actioned **(Health/Rates/etc)**
12.15	**Home**	**Home**	**Home**	**Home**	**Home**