Records Management Competency and Training Framework

Name of Record	Records and Information Management Competencies and Training Framework
Author	Senior Information and Improvement Officer
Owner	Chief Executive's Business Manager
Date	4/5/2021
Review Date	4/5/2023

Version	Notes	Author	Date
0.1	First Draft	HJ	23/02/2021
0.2	Streamlined structure and mapped to Council appraisal criteria headings	HJ	09/04/2021
0.3	Updated in line with CMG review	HJ	15/04/2021
0.4	Updated in line with CMG review	HJ	19/04/2021
0.5	Updated in line with final CMG review	HJ	21/04/2021
1.0	Removed ref. to "external Audit" and "staff induction". Included ref to e-learning. Changed title to "RM…" Saved as v. 1.0	SIIO	4/5/21

Introduction

The purpose of this framework is to outline:

- the key competencies and skills required by Council staff to enable them to fulfil their roles and responsibilities in relation to the management of the Council's information and records.

- the key components of the Council's Records Management training programme

The framework will be used as a basis for building Records Management capability across the Council, identifying and meeting training and personal development needs relating to the RM function and assessing performance.

The framework supports compliance with Element 12 of the Model Records Management Plan – records management training for all staff.

It is also a key component of the Council's Records Management Framework and delivery of the Council's Records Management Policy.

Records Management Roles and Competencies

Role: Overall responsibility for the management of Council records
Summary role and responsibility

The Chief Executive has ultimate responsibility for ensuring that adequate records are created and managed to meet the needs of the Council and its citizens and she is the senior officer responsible for the management of the Council's records plan under section 1(2a) of the Public Records (Scotland) Act, 2011.

Competency
Takes a strategic approach to managing Council records and information, envisioning the potential of records management and its contribution to Council performance and delivery of outcomes
Ensures the right level of resources to enable the Council to reach and maintain minimum acceptable RM standards across the organisation
Promotes Records management policy, emphasising accountability

Role: Corporate operational responsible officer for Records Management

Summary role and responsibility

The Senior Information and Improvement Officer has corporate operational responsibility for the records management function and overall responsibility for developing and implementing the Council's Records Management Plan.

Competency
Envisions the future role of information and records within the organisation including benefits realisation and risk reduction
Identifies information and records implications of new government policy and organisational change
Develops opportunities for raising the profile of RM across the Council
Identifies RM requirements for new business and information systems and applications and significant changes to existing ones
Ensures that colleagues have the necessary resources, capacity and capability to meet required Council RM standards
Ensures that RM Policy, systems and practice are developed and monitored in support of ERC statutory obligations, corporate governance and operational and legal requirements

Training and assessment methods

Training methods	Assessment methods
Current awareness	
Review of current practice and past experience and performance	Staff appraisal

Role: Information Asset Owner/Service Manager

Summary role and responsibility

Service Managers identified as having ultimate responsibility for ensuring that adequate records are created, managed and used to meet the needs of Council business functions they are responsible for. Has overall responsibility to ensure that records within their service are managed according to statutory responsibilities and Council policies.

Competency
Ensure that records and other information assets for which their service areas are responsible are adequately covered in the Council's integrated business classification scheme and retention schedule and information asset register

Understand the potential in using information and records to add value and effectiveness to their service
Ability to articulate clearly future service needs which will need information and records management support
Understand the risks to service and reputation from inadequate record keeping
Ensure that there are the necessary RM resources, capacity and capability to meet the RM requirements of their service areas
Ensure, where required, that local RM procedures and guidance are issued and followed within their service areas
Ensure that contracts with third parties performing a public function contain appropriate clauses on expected records management behaviour

Training and assessment methods

Training methods	Assessment methods
Information Asset Owner training	Training assessment
Review of current practice and past experience and performance	Staff appraisal

Role: Service information and records champions
Summary role and responsibility

Once established, this role will provide operational support for the records management function within their Service area on behalf of the Service Manager/Information Asset Owner, in line with Council Records Management policies, procedures and systems and ensure that these continue to meet the needs of their Service area over time.

Competency
Understand basic RM/IM concepts and requirements, risks and benefits within the context of their service area's business functions and information systems and are able to explain these to others
Facilitate implementation of Council RM policy within their service area, including acting as role model to colleagues by consistently following best practice approach to RM/IM
Support continuous improvement process for RM/IM policy, systems and practice by leading on required one-off and regular RM/IM activities within their service area and representing their service area's interests at Corporate RM level
Able to carry out basic RM/IM system and practice performance monitoring, review and reporting activities

Act as front-line support for colleagues' RM/IM enquiries, escalating these to corporate RM and/or IT as and when appropriate

Training and assessment methods

Training methods	Assessment methods
Service Information and Records Champion training	Training assessment
On-job training	Awareness testing
Review of current practice and past experience and performance	Monitoring of current practice Staff appraisal

Role: All employees
Summary role and responsibility

It is the responsibility of all staff to ensure that they create and capture appropriate records of their work in the Council and manage all records and information they use to support their work in keeping with the Council's Records Management Policy and associated procedures and guidance.

Competency
Understand and complies with IRM policies and procedures within the context of their working role
Manage the records and information they work with as a Council asset, ensuring the accessibility and proper protection of those assets from creation to disposal to meet the needs of the Council;
Are aware what information they need to carry out their job and are able to interpret and use that information in day-to-day operations
Create records which adequately and professionally document the decisions and processes undertaken as part of their working role
Capture information in the correct business information system or repository and follow good filing practices (naming conventions and classification schemes) so that information can be quickly retrieved
Communicate, collaborate and share information with colleagues using correct business information system, repository and collaboration tools in line with Council policy, procedures and guidance, efficiently and effectively, avoiding file duplication
Are aware which records relevant to their area of work include personal, sensitive or confidential information and ensure that personal and business sensitive information is handled in line with Council Data Protection and Information Security policy and procedures
Are able to find the information they need effectively and efficiently

Competency
Destroy information and records of no significant operational, informational or evidential value requiring its retention as soon as it has served its immediate purpose.

Training and assessment methods

Training methods	Assessment methods
Mandatory RM corporate induction training & role/Dept specific for local rules	Training assessment
RM practice and issues survey – carried out initially to establish baseline performance and repeated at appropriate intervals to assess improvement – the process of completing this survey provide a method of self-awareness	Analysis of survey results – provides method for measuring competency levels at an aggregated level
On-job training	Awareness testing
Review of current practice and past experience and performance	Monitoring of current practice Staff appraisal

Records Management Training Programme Summary

Records management should be identified as a distinct stream within the Council training portfolio. All staff should receive education on information management principles and records management responsibilities. Guidance is provided to all staff and is available on the intranet.

Processes will be developed for ensuring that staff with specific records management responsibilities at both Corporate and Service levels, receive relevant training to equip them with the skills and knowledge needed to assume recordkeeping roles.

All staff should receive training on how to use relevant systems and tools they need to do their job, covering information and records management lifecycle tasks and standards, linked to the business activity that the system supports. All staff should receive the following for cross-Council systems and tools:

- Network shared drives, MS Teams and SharePoint Online, Email ….. standard systems and apps list.

Additional training can be provided to those staff who take on the Information and Records Champions role and act as localised points of contact, support and improvement action for records management and as gatekeepers of business systems that hold records.

A basic RM training course has been developed, framed around a powerpoint presentation. The course provides an overview of key topics on both why records management is important and arrangements for records management operated in the Council. Each slide includes explanatory notes which can either be viewed, recorded as a voice over or used as a script for classroom training. Suggested training exercises to support classroom/live online training have been provided.

This training content and materials could be used to develop a number of role-based e-learning and live training courses to help develop the competencies documented in this framework including:

- Corporate RM induction training for new starts & basic corporate RM training for all existing staff.
- Service-specific training which could be delivered by Service Information and Records Champions for existing staff and ongoing for all new starts and movers.
- "Train the trainer" training for Service Information Champions as part of wider training for the specific champion role.

There is also a RM module in the online e-Learning system.

Methods for capability monitoring, competency assessment and training needs analysis could be developed including:
- Training exercises and assessments
- Staff appraisals
- External audit
- Review of current practice and past experience and performance – including RM culture, practice and issues on-line survey
- "Early days" monitoring by Service Information and Records Champions following any significant changes to working practice following RM-specific or wider

Council/service change