

Records Manager Job Profile

Introduction

Records Managers are responsible for the governance, safeguarding and delivery of information held by organisations. Staff in records management roles manage physical and digital record holdings in line with relevant legislation, define clear policies for use of related systems, and ensure business continuity. They are also expected to support and advise staff at all levels within the organisation on records matters and manage information transitions between organisations effectively. Roles will ordinarily be held by individuals at all grades, where the level attained will be dependent upon the complexity and decision making authority of tasks assigned to the individual. At higher levels (SEO or above), Records Managers will typically oversee legal/policy requirements, including managing relations with The National Archives, which is the regulatory body overseeing records management, embedding best practice and establishing information management policies.

Tasks

Records Managers are likely to have the following responsibilities;

- Ensure compliance with the Public Records Act, completing regular transfers to The National Archives of physical and digital holdings.
- Management and development of a file plan and naming conventions for the organisation.
- Implementation of a records lifecycle, ensuring adequate retention and disposal as and when required.
- Oversight of Machinery of Government changes, ensuring new records are brought into the department securely and correctly.
- Develop and embed best practice records management policies and procedures.
- Oversee sensitivity review processes for physical and born digital content.
- Helping responses to information requests under the Freedom of Information Act 2000 and the Environmental Information Regulations 2004.
- Conducting file searches across archive holdings.
- Liaise with stakeholders to identify training gaps or business needs.

Skills Required by Records Managers

Awareness Level (AA/AO)

1. Using, evaluating and Exploiting Knowledge and Information:

- Has a basic awareness of Records Management techniques and processes that ensures the effective use and exploitation of information and employs them in everyday use, e.g. knows how to generate, manage and exploit records effectively in the organisation.
- Follows Records Management practices and procedures in accordance with instructions and knows when to seek more specialist support, e.g. assists with the preparation of response to requests for records from within the organisation and asks for assistance from records specialists as required.
- Recognises the importance of maintaining the quality and integrity of records, e.g. identifies issues in the course of day-to-day work of non-compliance with organisational referencing policy.
- Recognises the benefits of collaborative working and knows how to use tools, including social media, to support effective collaboration, e.g. supports the production and sharing of records across teams.
- Understands the range and scope of the organisation's Records Management resources and facilitates appropriate access to them, e.g. understands where the organisation's paper records are stored and how they are accessed.
- Understands and applies coherent Records Management techniques, processes and tools to ensure the effective use and exploitation of records, e.g. uses a Records Management database to respond to enquiries about paper records held in storage.

2. Acquiring, Managing and Organising Knowledge and Information

- Applies Records Management good practice and standards to own work, e.g. complies with organisational records title naming conventions.
- Has a basic understanding of the different business requirements for protecting records and applies the appropriate standards and policies for handling, storing, disseminating and preserving them, e.g. is aware of retention policies and can direct colleagues to their location.
- Has a basic understanding of the need to manage records throughout their lifecycle and applies retention and disposal principles to own information, e.g. organises emails received in personal organisation inbox, ensuring these are retained according to business need and ephemera are disposed of.
- Has a basic understanding of good Records Management principles and ensures that own information is made available and used, e.g. appreciates that the organisation retains personal information to pay their wages and ensures this is kept up-to-date on their record.

3. Information Governance

- Has basic awareness of relevant Information Governance legislation, policy and standards, e.g. understands principles from the Public Records Act and how this applies to their area of work.
- Operates Information Governance practices and procedures in accordance with instructions and knows when to seek more specialist support, e.g. identifies requests for records originating from outside the organisation and elevates them to senior colleagues.
- Highlights discrepancies/updates required in Records Management policy and brings it to the attention of the policy owner, e.g. recognises and raises a potential change in service level agreement in the delivery of files to customers, brought about by a change in records storage provider.

Practitioner Level (EO/HEO)

1. Using, evaluating and Exploiting Knowledge and Information:

- Applies Records Management good practice and standards, e.g. e.g. understands Records Management policy on retention and disposal, applies this competently and conveys this to business teams.
- Contributes to Records Management development and service delivery, including advice to stakeholders, e.g. advising teams on whether their records should be stored as paper or digital format and helps formulate how this can be achieved at local level.
- Shows a good awareness of how to support how records are used and managed by teams across the organisation, e.g. understands the impact of changing Records Management policy on the way teams need to produce and manage their own records.
- Works with stakeholders to identify Records Management skills gaps and proactively develops relevant services, training, advice or guidance proactively to meet business needs, e.g. produces and amends guidance so that colleagues can understand how to create a record that complies with organisational policy.

2. Acquiring, Managing and Organising Knowledge and Information

- Applies Records Management good practice and standards, e.g. ensures that records requisitioning forms used by teams capture the information required to ensure an optimal audit trail.
- Understands the different business requirements for protecting records and applies the appropriate standards and policies for handling, storing, disseminating and preserving them, e.g. refers requests from other organisations for personnel files to the Human Resources Information Asset Owner to consider approval.
- Understands the need to manage records throughout their lifecycle and applies agreed retention and disposal policies, e.g. uses organisation retention policies to apply destruction dates to the records.
- Applies good Records Management principles to manage and organise records so they are made available and used, e.g. applies and advises upon

the use of meaningful titles and other helpful metadata for records; and develops taxonomies, code lists and ontologies related to the role.

3. Information Governance

- Applies Record Management Information Governance good practice and standards, e.g. keeps Information Asset Owners apprised of the intention to destroy records that fall within their remit.
- Has a good understanding of the relevant Records Management policy and legislative framework and provides advice on how to achieve effective handling in accordance with the relevant compliance regime, e.g. understands that an application for a Lord Chancellor's Instrument, under the Public Records Act 1958, is required to retain records past the lawful retention period, where they are needed for business efficacy.
- Understands when, where and how to seek legal or specialist advice, e.g. refers requests for records from parties outside the organisation to the business unit that owns them, so that they can use their specialist knowledge to determine whether the record or content should be released.
- Works with stakeholders to identify Information Governance skills gaps in Records Management and proactively develops relevant services, training, advice and guidance to meet business needs, e.g. responds to stakeholder criticism and queries on issued Records Management guidance and amends this to ensure that it is user friendly.
- Identifies when Records Management policy is obsolete or requires updating in line with internal and external changes and contributes to the drafting and redrafting of policy, e.g. suggests changes to Records Management policy to incorporate Cabinet Office issued guidance.
- Develops procedures for handling records that takes into account the organisation's risk management approach, e.g. produces guidance on applying the information required to label records, that ensures accurate identification.

Leader Level (SEO/Grade 7 and equivalent)

1. Using, evaluating and Exploiting Knowledge and Information:

- Identifies opportunities in cases where Records Management is a key stakeholder, e.g. proactively engages with business areas and other organisations and to establish roles and protocols to ensure that Records Management is considered and applied across the business function.
- Develops the right networks and relationships to ensure Records Management is integral to strategic decision-making across the business, e.g. actively participates in meetings with IT leaders in the organisation to promote and shape digital Records Management practice and policy.
- Exploits opportunities for the organisation to derive maximum benefit from its records, e.g. facilitates paper and digital records sharing between business areas and with other organisations.
- Develops and champions best practice in using, sharing and exploiting records, e.g. attends Association of Departmental Records Officers meetings,

sharing best practice and disseminates and implements best practice elements in own organisation.

- Coordinates and facilitates Records Management improvements for the benefit of the business, e.g. forms a link between practitioners and senior leaders in the organisation, to ensure that Records Management good practice and guidance are rolled out throughout the organisation.

2. Acquiring, Managing and Organising Knowledge and Information

- Develops appropriate Records Management lifecycle policies and strategies, in line with the relevant legal and policy framework, e.g. ensures that organisational policy takes account of Machinery of Government changes and incorporates relevant retention timescales.

- Develops innovative approaches for acquiring, maintaining and managing records, e.g. promotes programmes for converting from paper to digital Records Management within local business units and works with their leaders to help facilitate transition.

- Ensures uninterrupted continuity of Records Management through technological and organisational change, e.g. oversees the transfer of records into or out of the organisations as part of a Machinery of Government change and ensures appropriate access to the records, whether paper or digital, while they remain under the organisation's control.

3. Information Governance

- Develops policy for the Records Management aspects of knowledge and information quality and risk and handling, e.g. collaborates with the Freedom of Information specialist team to implement organisation-wide policy for obtaining records in response to Freedom of Information access requests and requests under the Environmental Information Regulations, that takes account of legislative requirements and organisational risk management policy.

- Balances and mitigates different Records Management risks in accordance with departmental approaches and strategies, e.g. advises divisional leaders on Records Management risks within their business areas and collaborates to provide workable solutions that balance local business need with Records Management needs, without compromising Records Management policy requirements.

- Monitors, promotes and continually improves the relevant compliance regime, e.g. oversees digital continuity measures, recognising the value and use of information to the business and ensures that internal processes support information assets in delivering the business needs, advising and guiding on amending these as appropriate.

- Identifies gaps and has awareness of overlaps between different compliance regimes, and manages any residual risks or competing requirements, e.g. oversees a rigid structure for reporting loss of records and ensures collaboration with colleagues to investigate the cause and address any failures that are identified.

- Collaborates with Information Asset Owners and other stakeholders to ensure compliance with the appropriate Records Management Information

Governance regime, e.g. ensures that teams can access appropriate Records Management training, advice and guidance, to ensure that they comply with legislative and organisational requirements on producing and handling records, in line with organisational and cross-Government KIM policy, and collaborates with other leaders to deliver.

Senior Leader Level (Grade 6 and above)

1. Using, evaluating and Exploiting Knowledge and Information:

- Responsible for maximising Records Management improvement for the entire organisation, e.g. liaises with senior leaders throughout the organisation, identifying needs for Records Management improvement and development, in line with KIM cross-Government priorities, at an organisational level, demonstrating improvement through measurable management information reporting.
- Leads and builds Records Management capability and culture within the team and across the organisation, e.g. ensures that Records Managers at all levels are adequately supported and can access and participate in training suitable to facilitate their roles as Records Management experts providing a service to the organisation and other stakeholders.
- Influences departmental strategy to ensure that Records Management is sufficiently recognised, valued and resourced, e.g. champions the importance of Records Management and key crossGovernment initiatives, e.g. digital records, at the organisation's senior leaders meetings and runs regular work/time exercises to ensure that Records Management teams are adequately resourced to meet their commitment to the organisation.
- Advocates Records Management and ensures that the profession is visible both within government and across the wider KIM community, e.g. participates in the KIM Heads of Profession Group meetings and shares details of good practice and challenges from their own organisation while capturing and cascading examples from other organisations.
- Ensures Records Management is considered as part of the strategic planning for business and organisational change, e.g. ensures that consultation with Records Management experts is built in as a milestone for the project planning of organisational and business change.

2. Acquiring, Managing and Organising Knowledge and Information

- Recognised as the visible authority within the organisation for managing and organising records, e.g. provides expert Records Management advice/recommendations to the organisation's Senior Leadership Team.
- Develops and communicates the strategic direction for acquiring and coordinating Records Management resources across the organisation, including for enterprise content management, e.g. produces Records Management business plans as a contribution to the organisation's overall strategy.

- Drives continuous improvement in the acquisition of Records Management resources, e.g. ensures that Records Management storage contractors deliver value for money while providing a high quality service.
- Defines the information architecture for the organisation and ensures these principles are communicated and integrated across the business, e.g. collaborates with IT to ensure that their strategy incorporates the organisation's need to access and create digital records and provides the information architecture to support this.
- Drives efficiencies and rationalises the use of Records Management resources, e.g. ensures continuous review of Records Management to identify improvements in processes that offer value for money.

3. Information Governance

- Identifies and develops appropriate Information Governance structures in conjunction with stakeholders and ensures there is accountability for Records Management risks and issues and these are fully visible, e.g. oversees Records Management policy to ensure that issues raised by stakeholders are elevated to an appropriate level and inform future planning considerations.
- Ensures the appropriate internal Records Management governance and policies are in place to support compliance with relevant regimes and key cross Government KIM initiatives, e.g. recognises and understands the need for digital continuity and risks associated with its loss, and implements initiatives that ensure it is managed consistently, within the organisation, with guidance issued from The National Archives.
- Ensures alignment with wider organisational, Civil Service and external governance to enable full visibility and prioritisation of Records Management risks and issues, e.g. collaborates with other Records Management senior leaders to champion discipline priorities across the Civil Service.