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State Records
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Records Management Resourcing Benchmarks and Classification Equity for South Australian Government

Guideline

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Version 1

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Introduction

One of the roles of State Records of South Australia prescribed by the *State Records Act 1997* is to issue guidelines, following consultation with government agencies and the State Records Council, that assist agencies observe best practice records management practices. State Records recently amended the Adequate Records Management Standard's Improvement Matrix to include an eleventh Outcome element, resourcing, that all agencies need to address by June 2010.

Purpose

The intent of this Guideline is to provide agencies and authorities with guidance in the appointment of suitably skilled, and numbers of, resources to mitigate common recordkeeping risks across South Australian Government. This benchmarking framework should be applied to govern the employment of all Information and Records Management practitioners in the South Australian public sector. This Guideline supports the following State Plan Goals and Targets:

- Objective 1: Growing Prosperity – Focus government and business investment in education and training to support lifelong learning by individuals who wish to acquire the knowledge and skills required for meaningful employment; Increase industry investment in the knowledge-based economy that will improve productivity and enhance long-term sustainable economic growth; Regularly and rigorously benchmark the effectiveness and efficiency of the delivery of State Government services in South Australia compared to other jurisdictions, particularly other Australian States.
 - Public Sector efficiency: Lead the nation in cost effectiveness of government services within 5 years
 - Public Sector decision-making: Lead Australian governments in timely and transparent government decision-making within 5 years.
- Objective 6: Expanding opportunities - Provide a whole-of-government framework that promotes the development of a skilled workforce, which in turn, will support innovative ideas and strong economic and labour markets in South Australia.
 - University participation: Exceed the national average within 10 years
 - TAFE participation: Continue to exceed the national average.

Background

State Records has undertaken analysis of current records management resourcing practices in South Australian Government and identified that there are serious deficiencies in many State and Local Government agencies' and authorities' approach to the employment of Information and Records Management practitioners.

The 2003 Self-Assessment reporting process by agencies and authorities validated largely anecdotal evidence that there are insufficient numbers of appropriately skilled Records Management practitioners in South Australian Government and/or existing Records Management practitioners do not have the required knowledge and experience to perform their roles. These practitioners are required to incrementally improve recordkeeping tools, systems and practices in order to facilitate the achievement of the incumbent Government's objective for a more open and accountable government and meet legislative requirements detailed in the *State Records Act 1997*. The South Australian Labor Platform 2005 identifies the need for improved recordkeeping to deliver quality government and requires the following statements to become agency policy:

“Labor recognises the maintenance of Government records in accordance with legislative standards and publicly available probity procedures is critical to enabling honest and transparent application of freedom of information laws” and, that the Government “will ensure that appropriate training is provided for public servants in records management”.

To date, many agencies and authorities have chosen to appoint individuals without any formal qualifications, knowledge and/or experience to undertake these business critical roles. Despite these individual's best endeavours their organisation's strategic and/or operational recordkeeping programs have stalled. Also, many Information and Records Management practitioners are asked to complete complex and sophisticated records management and strategically significant business tasks which they have neither the appropriate knowledge or experience to perform; these employees are inadvertently being set up for failure and perpetuating the current low self-esteem and negative profile of the Records Management profession in government.

When benchmarked to other specialist administrative professions in the public sector (e.g. Financial Management, Human Resource Management, Contract Management, etc) and the strategic and operational outputs required of these practitioners, it is apparent that a shared view of the need for, and benefits of, Records Management and skilled practitioners is currently not understood and/or acknowledged.

Generally, there is also inadequate sponsorship of recordkeeping programs in agencies and authorities. This issue can be adequately resolved by aligning the reporting structure to that applied to govern financial management; this is likely to result in Information and Records Management Strategists reporting directly to an Executive Director/General Manager.

Legislative Context

State Records developed the Across-Government Records Management Strategy for agencies and authorities to apply as a planning tool. This Strategy has been approved by the Across-Government Information and Records Management Strategy Group, endorsed by the State Records Council (December 2004) and the Senior Management Council (March 2005). All six goals detailed in the Strategy have a number of interdependencies that require a multi-pronged approach by agencies and authorities in order to incrementally improve current recordkeeping tools, systems, practices and resources. In this instance, Goals 1 and 2 need to be addressed in tandem in order to complete the actions listed in Goals 3 to 6. Goals 1 and 2 are:

1. A comprehensive records management education and training program, tailored to the needs of the South Australian Government and aimed at four tiers of Government employees (all public servants, records management operational staff, records managers and, information and records strategists), is developed and implemented; agencies need to utilise these programs.
2. A prescribed level of records management resourcing, which is classified consistently across government, is identified and employed.

State Records has determined that the achievement of 'adequate' Records Management status by agencies and authorities in 2010 is unattainable unless there is a significant investment in the development of fundamental recordkeeping skills in the next four years.

Without such an investment the risk that agencies will not be able to develop and implement 'fit for purpose' legislatively compliant recordkeeping governance, tools, systems and practices is extremely high (e.g. Records Disposal Schedules, Electronic Document and Records Management Systems [EDRMS] implementations, policies and procedures, etc). Equally, the lack of dedicated and skilled Information and Records Management practitioners in South Australian Government compromises the achievement of the Strategy's goals.

Compounding the resourcing issue is the ageing demographic within the South Australian public sector. Without a comprehensive succession plan for Government agencies and authorities there will be fewer skilled Information and Records Management practitioners in the public sector; it is expected there will be an exponential increase in demand for these practitioners by the end of the decade as a result.

Addressing the Issues

State Records has developed and implemented several education and training initiatives as detailed in Goal 1 of the *Across-Government Accredited Records Management Training And Education Strategy 2004*. State Records is now a nationally accredited training service provider, through an auspicing arrangement with Adelaide TAFE, and currently delivers Certificate 3 and 4 in Business Recordkeeping and is developing courseware to deliver Diploma and Advanced Diploma courses in 2006/07. In excess of 100 Information and Records Management practitioners from across the State will have completed one or more of the Certificates by December 2006.

State Records has entered into a partnership with the University of South Australia (UniSA), State Library of South Australia and Fuji Xerox to establish the Business Information Management Chair (Chair) in 2006, which will deliver a suite of undergraduate and postgraduate degrees. This program brings together a number of UniSA's interrelated information management education programs under one umbrella. These degree programs will graduate technically skilled records managers, archivists, librarians, Internet/Intranet coordinators, information system designers and administrators as well as knowledge and information officers at graduate and postgraduate levels. The Chair will include and focus on invaluable administrative skills such as marketing, project management, customer service and leadership to ensure the information management professionals who graduate from UniSA are able to operate across all levels of industry. The Chair's program will be made available via UniSA's online environment so that regional students and/or those that have a need to balance work and family commitments can take part in this groundbreaking initiative.

Solution

To address the current classification inequity and inadequate resourcing levels in government State Records has developed the following benchmark within a matrix for agencies and authorities to ensure their Information and Records Management practitioners' qualifications and classification align with required outputs and whether there are sufficient numbers of resources to deliver the agency's/authority's strategic and operational information and records management program.

It should be noted that agencies and authorities the benchmarks as a guide only. The completion of an independent assessment of current recordkeeping tools, systems and practices by an accredited consultant will identify the business risks to be mitigated. The application of the *Adequate Records Management Assessment Matrix and Evidence Toolkit 2005* will identify the strategic and operational deliverables agencies and authorities need to address in order to meet the 2010 deadline for adequate recordkeeping tools, systems and practices.

Matrix

It is acknowledged that the ASO stream in the public sector does not generally require a degree as an essential requirement with the exception of professions such as Financial Management, which requires an accounting degree or diploma. In this context the Information and Records Management roles detailed below include an essential qualification. Only accredited Freedom of Information Officers are authorised to process FOI enquiries and these roles are either standalone positions due to the demand (quantity and complexity of applications) of relevant agency administrative practice or assimilated duties for selected staff; this role is not included in the following Matrix.

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Records Management Position	Proposed Classification	Required Outcomes	Required Training Accreditation	Size of Organisation	Public Sector Classification Benchmarks
EDRMS Project Manager	ASO-6	Implement an EDRMS in an agency or authority under broad direction	Related Degree	Any agency or authority that implements an EDRMS	<p><i>Knowledge/Experience:</i> general knowledge of government recordkeeping policy and agency procedures; requires a significant level of discipline knowledge and competence gained through experience, training or education in an information and records management environment.</p> <p><i>Responsibility:</i> ability to review agency operations to determine their effectiveness; develop policy (e.g. EDRMS business rules) and provide advice on its application; evaluate, develop, implement an EDRMS; manage project to deliver corporate goals; undertake analysis, lead innovation and find solutions to complex system and cultural issues under limited direction.</p>
EDRMS Project Manager	ASO-7	Implement an EDRMS in a Department of Portfolio of complex geographical, cultural and business function with significant delegated authority and autonomy for project outcomes	Related Degree	Any Portfolio or Department that implements an EDRMS	<p><i>Knowledge/Experience:</i> detailed knowledge of government policy, agency procedures and practices; application of a high degree of discipline knowledge.</p> <p><i>Responsibility:</i> administer complex policy matters; devise and implement ongoing plans and programs to deliver legislative outcomes for the agency; plan and implement agency objectives for an EDRMS within corporate goals; initiate and formulate the agency's EDRMS implementation program in partnership with IT and the Information and Records Management Strategist and deliver the desired outcomes.</p>
Records Management Classification Officer	ASO-3	Classify incoming and outgoing correspondence according to a Business Classification Scheme (BCS) based thesaurus and perform basic EDRMS administrator functions	Certificate 3 and 4 in Business Recordkeeping	Every agency and authority	<p><i>Knowledge/Experience:</i> broad knowledge of the agency's functions and activities; sound knowledge of records management classification within an EDRMS</p> <p><i>Responsibility:</i> set outcome objectives for records capture and storage; exercise initiative and judgement in the application of classification methodology.</p>

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Records Management Position	Proposed Classification	Required Outcomes	Required Training Accreditation	Size of Organisation	Public Sector Classification Benchmarks
Records Management Archivist (Operational)	ASO-3	Sentence, box and list records and complete all associated correspondence	Certificate 3 and 4 in Business Recordkeeping and Records Series Identification and Transfer (RSIT) Certificate	Every agency and authority	<p><i>Knowledge/Experience:</i> broad knowledge of the agency's functions and activities; sound knowledge of archival management principles and their application within an EDRMS.</p> <p><i>Responsibility:</i> set outcome objectives for records sentencing, disposal and transfer; exercise initiative and judgement in the application of archival management principles.</p>
Records Management Archivist (Strategic)	ASO-5	Develop and administer the organisation's Disposal Program under limited direction	Diploma and Advanced Diploma in Business Recordkeeping	Every Portfolio and large Department and geographically linked local authorities (e.g. South East region)	<p><i>Knowledge/Experience:</i> discipline knowledge gained through relevant experience, training or education; knowledge of agency archival and records management program and associated government policies; knowledge of organisation business structures and functions.</p> <p><i>Responsibility:</i> provide advice on complex archival issues (e.g. disposal); approve all documentation to ensure State Records governance requirements are met; undertake detailed analysis of the archival practices in the agency and prepare reports with recommendations including the development of a Disposal Program for archival management; negotiate on archival management matters of significance within the agency and with other bodies (e.g. State Records); control and coordinate the agency's archival management operations; define problems, plan for their resolution and execute judgement and delegated authority according to analysis; contributes to the development of new business processes, recordkeeping policy; provides archival management consultancy services to Executive, EDRMS users and other stakeholders of the agency's recordkeeping framework.</p>

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Records Management Position	Proposed Classification	Required Outcomes	Required Training Accreditation	Size of Organisation	Public Sector Classification Benchmarks
Records and Information Management Strategist	ASO-7	Developing and implementing an Information and Records Management strategic program including designing of an EDRMS with some autonomy	Advanced Diploma in Business Recordkeeping and/or Degree	Any agency or authority	<p><i>Knowledge/Experience:</i> detailed knowledge of government policy, agency procedures and practices; application of a high level of discipline knowledge.</p> <p><i>Responsibility:</i> administer complex information and records management policy matters for the agency; devise and implement on-going plans and programs to address the Government's Records Management Framework requirements; plan and implement agency objectives within corporate goals; initiate and formulate the agency's information and records management programs; implement, coordinate and deliver the agency's strategic programs to achieve agreed objectives.</p>
Records and Information Management Strategist	ASO-8	Developing and implementing an Information and Records Management strategic program including designing of a EDRMS in a complex environment with significant delegated authority	Masters in Business Information Management	Any large agency, Department or authority	<p><i>Knowledge/Experience:</i> detailed knowledge of government Information and Records Management policies and procedures and their application in relation to agency operations; very high level of discipline knowledge including workflow and knowledge management.</p> <p><i>Responsibility:</i> responsible for Department-wide Information and Records Management functions; management of significant human, financial and contractual resources; operates under broad direction of a Director; significant role in the development of organisational policies to ensure records management objectives are met; provides a business and technical consulting service to multiple agencies and/or a large agency; interprets, reviews and implements policy instructions; undertakes complex project work; monitors the appropriateness of the organisation's information management governance framework; formulates policies and plans for staff and organisational development in adequate records management practice; evaluates the results of program activities against stated corporate objectives.</p>

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Records Management Position	Proposed Classification	Required Outcomes	Required Training Accreditation	Size of Organisation	Public Sector Classification Benchmarks
Records and Information Management Strategist	MAS-3	Developing and implementing an integrated Strategic Information and Records Management program between a number of related agencies or authorities and coordinating all related operations under Executive direction	Masters in Business Information Management	Any Portfolio or Department	<p><i>Knowledge/Experience:</i> detailed knowledge of government Information and Records Management policies and procedures and their application in relation to agency operations; very high level of discipline knowledge with an emphasis on e-commerce. Ability for original thinking, creativity, the exercise of significant levels of independent judgement as well as exercising delegated authority.</p> <p><i>Responsibility:</i> responsible for Department/Portfolio-wide Information and Records Management functions; management of significant human, financial and contractual resources; operates under broad direction of an Executive Director or Chief Executive; significant role in the development of organisational policies to ensure records, knowledge, workflow, content and workflow management objectives are met in tandem with e-commerce requirements; provides a business and technical consulting service to multiple agencies; interprets, reviews and implements policy instructions; undertakes complex project work (e.g. integration of line of business applications with the EDRMS); monitors the appropriateness of the organisation's Information and Records Management governance framework; formulates policies and plans for staff and organisational development in adequate records management practice; evaluates the results of program activities against stated corporate objectives.</p>

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Records Management Position	Proposed Classification	Required Outcomes	Required Training Accreditation	Size of Organisation	Public Sector Classification Benchmarks
Records Manager - Strategic	ASO-6	Develop, implement and administer records management-centric strategic and operational programs (eg business case, RM policies) under broad direction	Advanced Diploma in Business Recordkeeping and/or a degree	Any larger agency or authority that prepare holistic strategic programs	<p><i>Knowledge/Experience:</i> general knowledge of government information and records management policy and agency procedures; requires a significant level of discipline knowledge and competence gained through experience, training or education in an information and records management environment.</p> <p><i>Responsibility:</i> ability to review agency operations to determine their effectiveness; develop policy (e.g. access privileges for users) and provide advice on its application; evaluate, develop, implement a strategic information and records management program in tandem with an operational plan; manage the strategy's 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.</p>
Records Manager – Operational	ASO-5	Develop RM tools including a BCS, Thesaurus, RDS, system tables, etc with limited direction	Diploma in Business Recordkeeping	Any agency or authority that have an accredited consultant or Information and Records Strategist prepare strategic and operational programs	<p><i>Knowledge/Experience:</i> discipline knowledge gained through relevant experience, training or education; knowledge of agency records management program and associated government policies; knowledge of organisation business structures and functions.</p> <p><i>Responsibility:</i> provide advice on complex recordkeeping tools issues (e.g. thesaurus); approve tool documentation to ensure recordkeeping requirements are met; undertake detailed analysis of the recordkeeping framework in the agency and prepare reports with recommendations including the development of an operational plan for records management; negotiate on recordkeeping matters of significance within the agency and with other bodies (e.g. State Records); control and coordinate the agency's recordkeeping operations; define problems, plan for their resolution and execute judgement and delegated authority according to analysis; contributes to the development of new business processes, recordkeeping policy; provides records management consultancy services to Executive, EDRMS users and stakeholders of the agency's recordkeeping framework.</p>

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Records Management Position	Proposed Classification	Required Outcomes	Required Training Accreditation	Size of Organisation	Public Sector Classification Benchmarks
Records Manager – Operational	ASO-4	Develop procedures and programs which supports the organisation's RM strategy and apply the associated tools in the workplace with limited direction of a Strategist	Certificate 3 and 4 in Business Recordkeeping	Any small agency or authority that reports to a Portfolio or Departmental Strategist	<p><i>Knowledge/Experience:</i> knowledge of agency programs, policies and activities; sound discipline knowledge gained through experience, training and education; knowledge of the role of agency structures and service functions.</p> <p><i>Responsibility:</i> responsibility for a range of recordkeeping functions in the agency; 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.</p>
Records Management Change Manager	ASO-6	Develop specific training programs (e.g. courseware, manuals, communication strategy, training strategy) based on National Standards	Certificate 4 in Workplace Training and Assessment and Advanced Diploma in Recordkeeping and/or a Degree and/or an accredited Records Management Consultant	Any agency or authority	<p><i>Knowledge/Experience:</i> general knowledge of government recordkeeping policy and agency procedures; requires a significant level of discipline knowledge and competence gained through experience, training or education in an information and records management environment.</p> <p><i>Responsibility:</i> ability to review agency operations to determine their effectiveness; develop culture change programs (e.g. EDRMS systems) and provide advice on its application; evaluate, develop, implement records management and systems training programs; manage recordkeeping change management and training programs to deliver corporate goals; undertake analysis, lead innovation and find solutions to complex recordkeeping practice, system and cultural issues under limited direction.</p>

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Records Management Position	Proposed Classification	Required Outcomes	Required Training Accreditation	Size of Organisation	Public Sector Classification Benchmarks
Records Management System Auditor	ASO-5	Monitoring all transactions and workflows to ensure they are inviolate and operating effectively	Relevant Degree and/or Advanced Diploma in Recordkeeping	Any agency and authority operating an EDRMS	<p><i>Knowledge/Experience:</i> discipline knowledge gained through relevant experience, training or education; knowledge of agency records management program and associated government policies; knowledge of organisation business structures and functions.</p> <p><i>Responsibility:</i> provide advice on complex behavioural issues (e.g. inadequate record capture practices); endorse records management documentation to ensure auditing requirements are met; undertake detailed analysis of the recordkeeping practices of users in the agency and prepare reports with recommendations; negotiate on recordkeeping matters of significance within the agency and with other bodies (e.g. Attorney Generals Office); control and coordinate the agency's recordkeeping auditing operations; define problems, plan for their resolution and execute judgement and delegated authority according to analysis; contributes to the development of new business processes, recordkeeping policy; provide records management consultancy services to Executive, EDRMS users and other stakeholders of the agency's recordkeeping framework.</p>

Benchmarks

Small regional authority (less than 50 people); two people with the following attributes:

- *Records Manager (operational)*
- *Records Management Archivist (operational)*
- *Records Management Classification Officer*
- *Records Management Officer*
- *EDRMS System Administrator.*

These officers must have access to an Information and Records Management Strategist resource for guidance and mentoring.

Mid sized agency or authority (up to 500 people) will require at least 6 resources:

- *Records Management Officer*
- *Records Management Classification Officer*
- *Archivist (operational)*
- *EDRMS System Administrator/ EDRMS Technical Administrator*
- *Records Manager (operational)/ EDRMS Systems Auditor*
- *Records and Information Management Strategist.*

Large agency or authority (up to 1500 people) will require at least 10 people:

- *Records Management Officer*
- *Records Management Classification Officer (2)*
- *Archivist Operational (2)*
- *Records Manager (operational)*
- *Records and Information Management Strategist*
- *EDRMS System Auditor*
- *EDRMS System Administrator*
- *EDRMS Technical Administrator.*

Large Department or Portfolio (over 2000 people) will require at least 13 people:

- *Records Management Officers (2)*
- *Records Management Classification Officers (2)*
- *Archivist (operational) (2)*
- *Archivist Strategic*
- *Records Manager (operational or strategic)*
- *Records and Information Management Strategist*
- *EDRMS System Administrator (2)*
- *EDRMS System Auditor*
- *EDRMS Technical Administrator.*

These benchmarks do not include the temporary resources an agency/authority or Department may require to upskill or raise the awareness of strategic and operational recordkeeping programs in administratively decentralised and/or geographically spread working environments or the specialist project support expertise required to implement an enterprise-wide EDRM system, workflow management system, knowledge management system, library management system, web content management system or integration of line of business applications for records management purposes.