MANAGING PUBLIC SECTOR RECORDS

A Training Programme

Managing Resources for Records and Archives Services





INTERNATIONAL

COUNCIL ON ARCHIVES

International Records

Management Trust

MANAGING RESOURCES FOR RECORDS AND ARCHIVES SERVICES

MANAGING PUBLIC SECTOR RECORDS

A STUDY PROGRAMME

General Editor, Michael Roper; Managing Editor, Laura Millar

Managing Resources for Records and Archives Services

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Inquiries concerning reproduction or rights and requests for additional training materials should be addressed to

International Records Management Trust

12 John Street London WC1N 2EB

Tel: +44 (0) 20 7831 4101 Fax: +44 (0) 20 7831 7404

E-mail: info@irmt.org

Website: http://www.irmt.org

MPSR Project Personnel

Project Director

Anne Thurston has been working to define international solutions for the management of public sector records for nearly three decades. Between 1970 and 1980 she lived in Kenya, initially conducting research and then as an employee of the Kenya National Archives. She joined the staff of the School of Library, Archive and Information Studies at University College London in 1980, where she developed the MA course in Records and Archives Management (International) and a post-graduate research programme. Between 1984 and 1988 she undertook an onsite survey of record-keeping systems in the Commonwealth. This study led to the foundation of the International Records Management Trust to support the development of records management through technical and capacity-building projects and through research and education projects.

General Editor

Michael Roper has had a wide range of experience in the management of records and archives. He served for thirty-three years in the Public Record Office of the United Kingdom, from which he retired as Keeper of Public Records in 1992. He has also taught on the archives courses at University College London and the University of British Columbia, Canada. From 1988 to 1992 he was Secretary General of the International Council on Archives and since 1996 he has been Honorary Secretary of the Association of Commonwealth Archivists and Records Managers (ACARM). He has undertaken consultancy missions and participated in the delivery of training programmes in many countries and has written extensively on all aspects of records and archives management.

Managing Editor

Laura Millar has worked extensively not only as a records and archives management consultant but also in publishing and distance education, as an editor, production manager and instructional designer. She received her MAS degree in archival studies from the University of British Columbia, Canada, in 1984 and her PhD in archival studies from the University of London in 1996. She has developed and taught archival education courses both in Canada and internationally, including at the University of British Columbia, Simon Fraser University and the University of Alberta. She is the author of a number of books and articles on various aspects of archival management, including A Manual for Small Archives (1988), Archival Gold: Managing and Preserving Publishers' Records (1989) and A Handbook for Records Management and College Archives in British Columbia (1989).

Project Steering Group

Additional members of the Project Steering Group include

Association of Records Managers and

Administrators (ARMA International): Hella Jean Bartolo International Council on Archives: George MacKenzie Project Management Consultant: Tony Williams University College London: Elizabeth Shepherd

Video Production Co-ordinator: Janet Rogers

Educational Advisers

Moi University: Justus Wamukoya Universiti Teknologi Mara: Rusnah Johare University of Botswana: Nathan Mnjama

University of Ghana: Harry Akussah, Pino Akotia

University of New South Wales:

University of West Indies:

Ann Pederson

Victoria Lemieux

Project Managers

Lynn Coleman (1994-6)

Laura Millar (1996-7)

Elizabeth Box (1997-8)

Dawn Routledge (1999)

Production Team

Additional members of the production team include

Jane Cowan

Nicki Hall

Greg Holoboff

Barbara Lange

Jennifer Leijten

Leanne Nash

Donors

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Association of Records Managers and Administrators (ARMA International)

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Managing Resources for Records and Archives Services

Principal Authors

MICHAEL ROPER AND TONY WILLIAMS

For information on Michael Roper, see his biography above as General Editor.

Tony Williams is a senior manager in the Home Office and has been employed by IRMT as a consultant since 1992. His work for both organisations has concentrated mainly on change projects and in particular how these can be implemented and sustained in different environments and cultures. He has particular expertise in staff development, training and motivation; management techniques; and project management. He has also written and co-authored a number of published articles on the management of change. For IRMT he has been involved with overseas projects in Ghana, Uganda, Tanzania, Zimbabwe and Malta and worked with the Management Team on their business improvement programme.

Contributors

Keith Bastin

Laura Simmermon

Reviewers

Jay Atherton, (formerly) National Archives of Canada

Angeline Kamba, Public Service Commission, (formerly) National Archivist, Zimbabwe

Michael Swift, (formerly) National Archives of Canada

Testers

Department of Archives, The Bahamas

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INTRODUCTION

INTRODUCTION TO MANAGING RESOURCES FOR RECORDS AND ARCHIVES SERVICES

Managing Resources for Records and Archives Services is one of a series of three modules that provides an introduction for managers in the records and archives field to the executive management issues affecting records and archives systems and services. The others are Developing Infrastructures for Records and Archives Services and Strategic Planning for Records and Archives Services. It is recommended that those two modules should be studied before embarking on this one.

Executive management issues are also discussed in Analysing Business Systems.

These modules are rather more practical than theoretical. The theory and philosophy behind the various techniques and approaches advocated are covered more fully in the extensive range of management literature generally available. The focus here is on providing a practical framework for the delivery of an end product, in this particular context the efficient and economical management of the human, financial and physical resources needed to deliver effective records and archives services.

Although this series of modules is primarily concerned with the management of records and archives services within the public sector, much of its language has been taken from the private sector, where management studies originated. Hence, it is important to start this module with a reminder of the definitions of key terms used in the series.

Mission: The purpose for which an organisation exists.

Business: The core functions of an organisation that contribute to the achievement of its mission.

Process: The means whereby an organisation carries out any part its business.

Input: Any resource required for the functioning of a process, in the course of which it will be transformed into one or more outputs.

Output: The product of the transformation of inputs by a process.

Customer: Anyone who needs, uses or benefits from the output of a process.

Thus, the provision of an effective personnel management system is the **mission** of the personnel department within an agency; the **business** of the department is to carry out the various functions that contribute to the efficient and economical management of staff. One of the **processes** that supports that business is the maintenance of a comprehensive and accurate personnel records system. The **inputs** into that process include relevant information and records staff expertise, and the **outputs** include complete, up-to-date personnel files. The **customers** benefiting from those files include personnel managers, line managers and staff.

Other key terms used throughout this series of modules are efficiency, economy, effectiveness and cost effectiveness.

Effectiveness: A measure of the ability of a process to produce specified outputs.

Efficiency: A measure of the ability of a process to produce more outputs from the same inputs.

Economy: A measure of the ability of a process to produce the same outputs from reduced inputs.

Cost effectiveness: The optimum balance between efficiency, economy and effectiveness. Also known as value for money.

The core modules in the Management of Public Sector Records Study Programme have provided guidance in the professional aspects of managing records and archives throughout their life cycle. This management module concentrates on equipping managers with the additional knowledge and skills needed to establish and maintain the regulatory framework necessary to provide essential records and archives services. These modules make specific reference to public sector issues and refer largely to national government activities. Those people based in other jurisdictions should consider the information provided in relation to their own organisations and systems.

In these three modules, the term 'manager' is used to refer to the person responsible for a variety of management decisions. It is understood that many people studying these modules will not be actual 'managers'; however, the information provided will be of value regardless of where a person is within the organisational structure. You are encouraged to consider yourself a 'manager' while studying these three management modules and to consider the management issues fully and completely, regardless of your actual position within the agency.

Managing Resources for Records and Archives Services consists of five lessons:

Lesson 1: Managing Human Resources I: Obtaining and Retaining Staff

Lesson 2: Managing Human Resources II: Staff Development

Lesson 3: Managing Financial Resources

Lesson 4: Managing Physical Resources

Lesson 5: What to Do Next?

AIMS AND OUTCOMES

Aims

This module has four primary aims. These are

- 1. to outline the principles and practices of managing human resources
- 2. to outline the principles and practices of managing financial resources
- 3. to outline the principles and practices of managing physical resources
- 4. to explain where to go for more information on resource management.

Outcomes

When you have completed this module, you will be able to

- 1. explain the key principles and practices in managing records and archives staff
- 2. explain the key principles and practices in managing the financial resources of your organisation
- 3. explain the key principles and practices in managing equipment and accommodation for records and archives purposes
- 4. know how to find more information on the topics addressed.

METHOD OF STUDY AND ASSESSMENT

This module of five lessons should occupy about 40 hours of your time. You should plan to spend about

10 hours on Lesson 1

8 hours on Lesson 2

8 hours on Lesson 3

8 hours on Lesson 4

6 hours on Lesson 5.

This includes time spent doing the reading and completing the activities and study questions.

At the end of each lesson there is a summary of the major points. Sources for additional information are provided in Lesson 5.

Throughout each lesson, activities have been included to help you think about the information provided. Each activity is a 'self-assessed' project; there is no 'right' or 'wrong' answer. Rather, the activity is designed to encourage you to explore the ideas presented and relate them to the environment in which you are studying or working. If you are studying these modules independently and are not part of a records or archives management organisation, you should try to complete the activities with a hypothetical situation if possible. If the activity suggests writing something, you should keep this brief and to the point; this is not a marked or graded exercise and you should only spend as much time on the activity as you feel necessary to understand the information being taught. At the end of each lesson are comments on the activities that will help you assess your work.

Following the summary at the end of each lesson are a number of self-study questions. Note that these self-study questions are designed to help you review the material in this module. They are not intended to be graded or marked exercises. You should complete as many of the questions as you feel will help you to understand the concepts presented. External assessments, such as assignments or exams, will be included separately when this module becomes part of a graded educational programme.

ADDITIONAL RESOURCES

This module assumes that you have access to a records office, records centre or archival institution or that you have some involvement with the management of records. The various activities may ask you to draw on your own experiences and compare those with the information provided in the lessons. If you do not have access to records or archives facilities within your organisation, you may need to develop a fictitious scenario for your activities. You do not have to be in a senior management position to work through the activities in this module, although you wish to discuss this module with friends or colleagues who are in decision-making positions in the organisation or who are involved with the management of the organisation's resources, so that you can discuss principles and concepts with them and compare your understanding with theirs.

Manual

The manual A Model Scheme of Service for a Records and Archives Class may offer useful additional information.

Case Studies

The following case studies may offer useful information.

Case Study:

- 18: Gail Saunders and Elaine Toote, Bahamas, 'Records Management Building or Adapting a Records Centre Facility: The Case of the Bahamas Records Centre'
- 21: Setareki Tale, Fiji, 'Improving Records Control and Storage in Papakura'
- 27: Terry Cook, Ed Dahl and Ann Pederson, Australia and Canada. 'Living with Your Conscience at the End of the Day: Ethical Issues and Archives/Records Managers.'

LESSON 1

MANAGING HUMAN RESOURCES I: OBTAINING AND RETAINING STAFF

Lessons 1 and 2 of this module introduce and explain the issues involved in the effective management of human resources. Lesson 1 deals particularly with the recruitment and training of staff.

It has been said many times that the most important resource of any organisation is its staff, the people who work for it: in other words, its human resources. It is one thing for an organisation to have a mission statement, aims and objectives, but unless the right people are in place within the organisation, those ideals will never be turned into action and the objectives will not be achieved.

In the context of public service reforms, great stress is placed on the management of human resources as part of the rationalisation of the service, leading to leaner structures. The reform process puts more emphasis on the quality of the personnel rather than on the quantity and on motivation, competencies and career orientation.

The management of human resources is not a simple matter. Obtaining staff of the right quality and motivation can be a costly and time-consuming exercise; having a person in post is just the beginning of the story. Staff need to be retained, trained, developed and used effectively by the organisation, so that the organisation benefits from their contribution and the individuals feel that they are making progress and growing in the work that they are required to do.

Like all administrative processes, effective management of human resources is heavily dependent upon good record-keeping practices. These are specifically dealt with in *Managing Personnel Records* and will be mentioned only in passing in these lessons.

For more information on the care of human resources records, see Managing Personnel Records.

Lesson 1 is designed to take managers in the records and archives field through the process of obtaining, maintaining and developing their human resources. A vital ingredient of this process is selecting and retaining the right type of staff to ensure that the life-cycle concept of records and archives management is effectively developed and maintained across all agencies of government.

Though responsibility for recruitment within the public service is increasingly being decentralised, in many public service systems responsibility may still rest with a government-wide unit (such as a Public Service Commission). However, even in such circumstances the local manager is likely to be involved in at least the early stages of the recruitment process. He or she is the person best placed to know what staffing requirements are necessary to meet the

goals of the organisation, particular with regard to professional competencies, and should be able to articulate and defend them to those in authority.

The lesson will help the manager to

- understand the importance of human resources planning
- understand the financial and grading processes involved
- know about a range of options for obtaining staff resources, including recruitment, loan, transfer and secondment
- provide effective induction training for staff
- retain and maintain staff through effective schemes of service, industrial relations, health and safety, equal opportunities and communications.

ASSESSING HUMAN RESOURCES NEEDS

Before looking at the mechanics of how to obtain the appropriate human resources for an organisation, it is necessary to look at the organisation itself and the tasks that need to be done and to make an assessment of the staff needed to carry out that work as efficiently and cost-effectively as possible. This process is known as human resources planning. There are various techniques available to help a manager establish requirements in terms of the grading and numbers of posts.

Human Resources Planning

Human resources planning, also referred to as manpower planning, is both a tactical and a strategic activity. It is concerned with the optimum deployment of available human resources to meet the immediate business objectives of the organisation and planning the provision of the right human resources at the right time to accomplish its longer-term business aims. It is based upon an assessment of the human resources needed to enable the organisation to achieve its stated aims and objectives and the planning of the consequential processes of recruitment, training and development of staff. It also involves determining the number and structure of the posts required, the grading of each post, the skills, qualifications and training required to establish and maintain the appropriate workforce and the costs involved. This is not something that can be left to the personnel unit to determine in isolation. Human resources planning must involve the line manager, senior management in the organisation and specialists in the government agency with general responsibility for grading, complementing and related subjects, as discussed below.

Organisational Structure

In large organisations, the staffing structure is likely to be hierarchical, reflecting the range of separate functions that have to be performed. In general the more straightforward the structure, the more efficiently it will function. A fair test of its viability is the ease with which its organisation chart can be drawn. The structure should clearly distinguish professional from sub-professional posts, with a smaller number of professionals directing a larger number of sub-professionals, so that the structure, when represented diagrammatically, approaches as nearly as possible to a triangle.

Organisation chart: The diagrammatic representation of the structure of an organisation.

Consider the following figure, illustrating the management structure of a Records and Archives Institution.

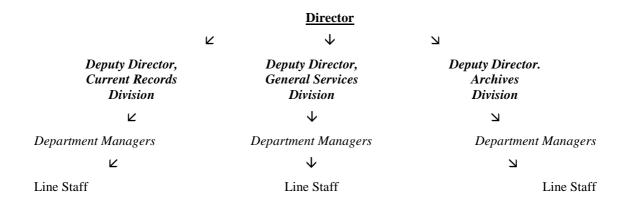


Figure 1: Organisational Chart of a Records and Archives Institution

Organisational structures for records and archives services are dealt with in more detail in Developing Infrastructures for Records and Archives Services.

Grading

Grading: The placing of posts in a staffing structure at appropriate points in a predetermined classification scheme on the basis of the nature of the work and the level of responsibility.

Grading requires judgement based on a systematic approach to assessing posts on the basis of

- the weight of their management content
- their span of control
- the level of competencies (that is, professional expertise) required (and hence of professional initiative to be exercised)
- the workload.

However, workload is more relevant to the number of posts required at a particular level than to their grading. Knowledge and experience are sometimes regarded as relevant to grading but only indirectly insofar as they are a necessary part of the competencies required by the post.

Span of control: The number of directly subordinate staff managed by a post holder.

Without such a systematic approach there will inevitably be inconsistency and overgrading, which can lead to

- increased staff costs
- distortions and inefficiencies in organisational structures
- a tendency to increase staff numbers to fill vacated levels
- discontent among staff who are not upgraded and who do not see logic or fairness in the grading system.

Grading is not a scientific technique, but in a public sector context there are normally three management tools available to make it systematic and consistent:

- 1. a job evaluation scheme specifically designed for the organisation
- 2. grading guidance for the key grade levels in the pay and grading structure
- 3. a scheme of service.

The management services specialists in the organisation or in the government agency responsible for staffing matters will be able to advise on the approach and application of these tools in specific countries, especially in relation to records work.

For a more detailed discussion of grading and schemes of service for records and archives staff see Developing Infrastructures for Records and Archives Services and A Model Scheme of Service for a Records and Archives Class.

Activity 1

Draw an organisational chart for your organisation. How easy or difficult was this? How closely does the organisational chart resemble a triangle?

Next, write a brief description of the process used in your organisation to assess human resource needs. What is the process for grading? How are new employees selected?

You may need to discuss this activity with colleagues within the organisation or draw on your experiences when you first began with the organisation.

OBTAINING HUMAN RESOURCES

The automatic reaction when considering obtaining new human resources is to think in terms of recruitment. While this is the normal route to go in obtaining people from outside of the organisation, it may be appropriate to consider whether any alternative approaches, such as a loan, a transfer or a secondment, would best suit the need.

Recruitment is only one way to obtain human resources. People can also be engaged through loans, transfers or secondments.

This section will consider each of these alternative approaches in some detail. It will also consider the need for effective induction training when a new person arrives in the organisation.

It is assumed that the line manager will be involved in the process but that action will be taken by the personnel unit of the Records and Archives Institution in conjunction, where appropriate, with the larger organisation. It is also assumed that the procedures followed will be those laid down by the government agency responsible for the management of the civil service within the jurisdiction.

These procedures will include seeking the concurrence of the appointing authority, which may vary with the grade of the post.

Appointing authority: The person or body authorised by the constitution, statute or regulation to make the formal appointment of a person to a post of a particular grade within the public service.

The Business Plan and Annual Estimates

It is important to consider first the steps that have to be taken to ensure that approval is in place both for the post itself and for its funding in the financial year in question.

The human and other resources required to achieve the organisation's objectives during the coming year will have been set out in the annual business plan. The finances to pay for these resources will need to be sought in the annual estimates.

The annual estimates exercise is usually the main focal point for involvement by line managers and personnel units in the preparation of specific human resources bids. In many countries complementing is still strictly controlled from the centre; the ministry responsible for finance sets down the ground rules in terms of staffing estimates through subordinate human resources estimates. In other countries there is no centralised control of complementing and agencies are free to determine their own staff numbers within the boundaries of their financial estimates.

Complementing: The determination of the numbers and grades of staff necessary for the cost-effective achievement of an organisation's aims and objectives.

However, in preparing human resources bids within either system, an organisation is required to

- consider its proposals within the context of the overall strategic and business plans of the organisation
- provide justification for any new posts that may need to be created
- provide a detailed job description for each proposed new post
- give an indication of the revised structure and line management arrangements of the organisation
- state if there will be any off-setting staff savings
- state the cost of the new posts and its effect on the level of financial provision sought in the estimates.

A more detailed discussion of strategic and business plans is provided in Strategic Planning for Records and Archives Services.

A more detailed discussion of the estimates exercise is provided in Lesson 3.

Action to Fill a Vacancy

When a vacancy arises, the line manager should consider the following issues.

• Could the efficiency of the work unit could be improved by altering the structure or grading of the post?

- Is funding for the post available for the foreseeable future and is it reflected in the line manager's agreed work programme?
- Is the post is suitable for part-time work or job-sharing?
- Could the post be filled by the transfer or promotion of someone else from within the organisation?
- Could the post could be filled by someone on loan, secondment or transfer from elsewhere within or outside the public service? If so, what arrangements would have to be made for the post to be advertised ('trawled') in other parts of the public service?
- Will it be necessary to advertise the post publicly?

If, after considering these points, it is proposed to make an appointment to the post, the personnel unit should be consulted before the job is posted, in order to consider the availability of suitable surplus staff, the qualifications of new entrants awaiting posting and the possible use of former staff seeking to return.

Secondment: An arrangement whereby an individual is loaned to another organisation with the intention that he or she will, at the end of the period of secondment, return to the parent organisation. In some systems there is a technical difference between 'secondment', in which the lending organisation pays the salary of the person loaned, and 'loan', in which the borrowing organisation pays the salary.

Recruitment Procedure

Openness, fairness and merit are the key principles of civil service recruitment. These principles must be borne in mind at all stages of the recruitment process.

The principle of openness is essentially that of making jobs widely accessible. The principle of fairness seeks to ensure that there is no unfair discrimination between candidates from the point at which someone first expresses an interest in the job to the point at which the selection decision is made. The principle of merit embodies two ideas: that no one should be appointed to a job unless he or she is competent to do it; and that, if more than one candidate is adjudged to meet the criteria for appointment, the person offered the job should be the one who would do it best.

Openness, fairness and merit are the key principles of civil service recruitment.

Where the requirement is to fill a newly created post, the first task will be to draw up a job specification for the post before attempting to draft the advertisement. A job specification describes the purpose of the job, the tasks it entails and the competencies needed to perform it satisfactorily.

Competencies can be grouped into three categories:

- 1. knowledge
- 2. skills
- 3. abilities.

Competencies answer the question: What do I have to be good at doing to be effective in my job? They may be acquired by education and training leading to formal qualifications or by experience and 'learning-on-the-job'.

Competencies: The levels of knowledge, skills and experience achieved by an individual in relation to the range of jobs he or she may be called upon to perform.

Desirable characteristics within the above categories might include education and qualifications; experience, training and skills; personality requirements; and physical and mental attributes.

In writing any job specification, it is important to list only the knowledge, skills and abilities essential for satisfactory performance of the specific job. Where there is a relevant scheme of service in place, the job specification must incorporate the qualifications for appointment applicable to a post at that level within that scheme.

Scheme of service: A framework document that sets out the specific details of a particular occupational class in the civil service.

In producing the draft advertisement, the following additional features should be borne in mind: location of the post, any age limits, salary scale and closing date. The following set of guidelines should also be observed.

- Study the job specification to extract relevant information.
- Determine the best selling points of the job and select the ones to feature in the advertisement. These might include salary, nature of the job, promotion prospects or location.
- Tailor the job description in the advertisement to achieve the desired response.

Except in special cases, the final result should produce an advertisement that includes the following elements in suitably concise form: job title, description of the agency and unit; job description and specification; competencies required; whether the job is permanent (established) or temporary; salary scale; and instructions for application.

When the advertisement has been approved by the appointing authority, copies should be sent to the appropriate newspapers and other distribution points so that the advertisement can be widely publicised. The advertisement must spell out the closing date by which completed application forms must be received and where they must be sent. Local practice will determine

whether this advertisement is placed by the agency in which the vacancy exists or by that with general responsibility for the civil service.

Recruitment Timetable

There is a danger that the recruitment process can take a long time. The fact that a vacancy exists suggests that there is an urgent need to fill the post and that the work of that position is not being done. In addition, there is an obligation to keep applicants informed of their progress in the selection procedure. Therefore, as soon as a decision is made to fill a vacancy by public advertisement, the recruitment process should be planned and managed as a project.

Project planning and management are dealt with in more detail in Strategic Planning for Records and Archives Services.

A recruitment timetable should be drawn up and its key dates adhered to.

Recruitment should be done according to an established timetable.

The principal stages and recommended time scales are as follows.

Stage	<u>Action</u>	<u>Time</u>
1	Notification of vacancy	date x
2	Preparation of advertisement	x plus 1 week
3	Placement of advertisement	x plus 2 weeks
4	Closing date	x plus 5 weeks
5	Drawing up short list	x plus 6 weeks
6	Start interviews	x plus 8 weeks
7	Approval of interview results	x plus 9 weeks
8	Issue of appointment letter	x plus 10 weeks

Figure 2: Principal Stages and Recommended Time Scales for Recruitment

In the normal course of events, it should be possible to complete the recruitment exercise from start to finish in less than three months. The basic timetable may have to be extended if there are a large number of vacancies or if the particular vacancy is likely to attract a significantly large number of applications. One of the advantages of planning ahead in this way is that it will be possible to inform members of the selection board well in advance when they will be required to conduct the interviews.

Where a number of vacancies can reliably be anticipated throughout the year (such as when appointing people to the basic grade within a scheme of service), a single recruitment process

may be used to identify a pool of qualified persons who can be called upon as the actual vacancies arise.

Application Forms

A candidate for appointment should be required to submit an application in his or her own handwriting, supported by evidence that he or she fulfils the minimum requirements for the post. The primary purpose of the application form is to aid good selection by enabling the selection board to eliminate at the initial stage those who do not fulfil the minimum requirements of the post. The secondary purpose is to provide personal information when and if the applicant commences employment, but in a way that does not inhibit the recruitment process.

An acknowledgement of receipt should be sent promptly to each applicant.

Drawing Up the Short List

The objective of recruitment should be to produce a short list of candidates worth interviewing. Immediately after the closing date, all the application forms should be forwarded to the responsible officer (or officers) to recommend a short list of candidates. On occasion, there may be few candidates who apply: even those application forms should be examined to see if the applicants meet the requirements of the job specification; it is a waste of everybody's time to interview people who are clearly not suited to the job vacancy.

Where a degree of choice does exist, the information on the application forms should be examined and matched against the job specification. Applications should then be sorted into three categories: 'probable', 'possible' and 'unsuitable'. The short list can then be made up from the first two categories.

It is essential that those involved in this 'sifting' process be extremely objective in considering the application forms. The criterion for inclusion in the short list is whether the candidate matches the requirements of the job specification, not 'I know this man; he would fit in very well'. It is also important that equal opportunities considerations should be borne in mind. The final short list should provide a ratio of roughly 3 to 1 between the number of candidates and the number of vacancies.

Bearing in mind the recruitment timetable above, the responsible officer should be asked to return the application forms to the personnel unit by a specific date. Candidates who have not been included in the short list should be notified in writing promptly and with courtesy.

Selection

Selection represents the final stage of decision making in the recruitment process. Short-listed candidates may be required to attend an interview or take a written test as part of the selection procedure. Short-listed candidates should be informed that they are required to attend for interview or to undertake a written test at an appointed date, time and place.

Those involved in the interviews should include the line manager of the unit that has declared the vacancy and representatives of the appointing authority and the Records and Archives Institution. The presence of an appropriate independent member on the interview board will enhance the transparency in the recruitment process. One of the interviewers should act a chair of the panel.

The following points should be borne in mind by the selection interviewers.

- Prior to the interview, compare the job specification with the information on the application form and plan the interview in order to gather further information about critical aspects of the applicant's career history.
- Structure the interview to cover key areas such as education, qualifications, experience, training, skills, motivation and any special circumstances.
- Pay attention to the impression the candidate is likely to make on others, including appearance, manner and bearing.

The Selection Interview

The following is a summary of recommended procedures for the selection interview.

OPENING THE INTERVIEW

The chair should set the stage for the interview by letting the candidate know what is going to happen and what is expected of him or her.

EXCHANGE OF INFORMATION

After the stage has been set, the interviewers can

- review the chronology presented in the application form with a view to filling any gaps
- probe important areas of the candidate's knowledge, experience and opinions to evaluate his or her competencies and suitability for the job
- deal with any questions the candidate may have about the job situation.

Even when a candidate shows from an early stage in the interview that he or she is unsuitable or unqualified for the post, the process should be conducted in such a way that the candidate feels that he or she has been given a full and fair hearing.

CLOSE THE INTERVIEW

The interview should be closed by thanking the candidate for attending and informing him or her of the timetable for notification of the results, process for reclaiming travel expenses and so on.

WRITTEN RECORD OF THE INTERVIEW

Immediately after the interview, the interview board should agree whether or not the candidate is suitable for appointment and at the end of the interviews the suitable candidates should be ranked in order of suitability.

It is important that the interviewers take notes to support the final decision.

After the Interviews

When the results of the interview are known, both successful and unsuccessful candidates should be informed quickly of the outcome. Successful candidates should be sent an offer of

appointment letter and unsuccessful candidates should be sent a courteous letter telling them that they have not been recommended for appointment on this occasion.

Candidates should be advised as soon as possible of the outcome of the interviews.

In some cases it may be necessary to readvertise the post because none of the interviewed candidates matched the requirements of the job specification. Before doing so, consideration should be given to whether, in the light of experience, the job specification or the advertisement needs redrafting. Obviously there is greater urgency to fill a readvertised post than a post that has just been declared vacant.

Appointment Letters

Every letter of appointment should specify

- the precise designation of the post to which appointment is being made
- the terms of the appointment, such as whether it is temporary or permanent, pensionable or not and the period of notice required to terminate
- the grade and pay scale applicable to the post
- the starting salary
- the effective date of the appointment and the incremental date
- the length of the probationary period to be served
- a statement that the appointment will not take effect unless it is accepted in writing.

Probation and Confirmation of Appointment

Initial appointments will generally be subject to a probationary period, normally of one year. The purpose of probation is to judge conduct, efficiency and attendance and to terminate quickly the appointments of poor performers. It is essential, therefore, that performance, conduct and health should be objectively monitored throughout that year.

Confirmation of appointment should be subject to satisfactory reports on the officer's performance and conduct. If the reports are unsatisfactory, the officer must be informed of his or her shortcomings. Most appointments will be confirmed. Sometime the probationary period may be extended but unless there are special circumstances, the practice should be discouraged. Where an appointment is terminated, the probationer should be given the option of resigning.

A probation period allows managers to monitor conduct, efficiency and attendance and to terminate quickly the appointments of poor performers.

Induction Programme

The induction process ensures all staff have a common understanding of the organisation's mission, aims and objectives, practices and values.

All new employees should be introduced effectively to the organisation and given the training and development they need to do their jobs.

The objectives of the induction process are to

- make newcomers feel that they are joining an efficient and well run organisation
- inform newcomers where they can obtain appropriate help and information
- inform them of their rights, terms of employment and responsibilities
- inform them about major personnel policies
- give them a clear idea of what the organisation expects of them; enabling them to contribute to the work of the organisation as quickly as possible
- to encourage effective staff to remain.

Although there may be variations depending on background, the procedures to be followed by personnel units and line managers are as follows.

- 1. Pre-appointment information about the organisation should sent to prospective employees.
- 2. There should be an early interview with the personnel manager, who issues an induction pack and provides an initial briefing.
- 3. The line manager should introduce the newcomer to the job. The role of the line manager is to define the job, agree objectives and arrange any training or development that is needed to enable the newcomer to do the job.
- 4. New entrants may be called within three to six months of their arrival for an induction training programme to give them an in-depth introduction to the organisation and its functions.

Activity 2

Write a brief description of the process used in your organisation to fill a vacancy. Go through all the steps in detail, from creating the job advertisement to recruiting the candidate, to induction and training. Can you suggest two or three (or more) ways the processes used could be altered in order to improve efficiency and effectiveness?

Again, you may need to discuss this activity with colleagues within the organisation or draw on your experiences when you first began with the organisation.

MAINTAINING STAFF RESOURCES

When looking at the management of human resources in the public sector, two aspects always go hand in hand: recruitment and retention. This part of the lesson examined how to maintain – that is, retain – the new recruit.

Recruitment can be a costly activity both in terms of hard cash and in the amount of time required. Having got a key person into the organisation or perhaps having assembled a key team for a particular project, it is important to retain their confidence and commitment. Otherwise the initial expenditure may have been wasted and the task in hand may not be achieved.

The initial expectation is that the new appointee will come to the job with a high degree of enthusiasm and anticipation. This enthusiasm should be maintained. At a very early stage the new employee needs to have the message reinforced that he or she has joined a good employer, one who cares about the welfare of its workforce. The whole objective must be to bolster the morale of the employee during the early days of the new assignment. This can be done partly by giving individual attention to the new employee but even more by demonstrating, through the organisation's systems and procedures, that all employees operate in a framework that safeguards and promotes their interests.

Five particular elements of such systems and procedures will now be considered in some detail:

- 1. schemes of service
- 2. industrial relations
- 3. health and safety
- 4. equal opportunities
- 5. communications.

Schemes of Service

Schemes of service set out the qualifications and levels of experience required for entry into, and promotion within the class or cadre to which a scheme has been applied. A scheme of service will typically include

- conditions and qualifications for appointment
- duties and standards applicable to individual grades and posts
- in-service training arrangements
- promotion criteria
- provisions for transfer into or out of and within the class.

The main purpose of a scheme of service is to lay down specifications that will help to ensure that the public service is effectively and efficiently staffed and that uniform standards are applied across the service. A scheme of service also acts as a great encouragement to members of the class because it shows that the organisation cares about order, fairness, standards, training and promotion.

Schemes of service are discussed in more detail in Developing Infrastructures for Records and Archives Services; a sample scheme of service is contained in the associated manual A Model Scheme of Service for a Records and Archives Class.

Activity 3

Is there a scheme of service in place in your organisation? If so, write a brief description of it.

Does the scheme of service include

conditions and qualifications for appointment duties and standards applicable to individual grades and posts in-service training arrangements promotion criteria provisions for transfer into or out of and within the class.

Can you suggest two or three ways the scheme of service could be altered in order to improve efficiency and effectiveness?

If there is no scheme of service, explain the criteria used to oversee the process of employment and supervision of employees in the organisation.

Industrial Relations

Good industrial relations are essential if management and staff are to work together towards the attainment of common goals. Fostering good relations is the responsibility of management and hinges on good communications between those who manage and those who are managed.

One useful channel for such communications is a trade union or staff association. If members of staff wish to take part in activities organised by or on behalf of their trade union, the extent to which they may freely do so may depend on the attitude of management and the actual work on which they are engaged in the organisation. In the normal course of events there should be absolute freedom for staff to participate in trade union activities unless there is a direct conflict of interest between the subject under discussion and the day-to-day work of the employee.

Both management and staff benefit from open relations with trade unions.

Generally speaking, the involvement of employees in industrial relations activities falls into two categories: informal business with management, or formal meetings that could have as their main focus either information exchange, consultation or – rarely – negotiation.

It is in management's interest to be able to talk to elected trade union representatives within the organisation in order to gauge the staff's reactions to a whole range of strategic, policy and management issues. Without this facility, management would find it necessary to convene consultative meetings either with staff at all levels or through a more formal cascade structure. In both cases the result may be a top-down approach to industrial relations rather than the more healthy exchange of views between management and trade union representatives.

Important areas that can be covered under these arrangements include pay, working conditions, personnel procedures, discipline, grievances and allowances. The degree of freedom to move forward in this area is going to depend on the appropriate legislation that exists in each country, together with any more specific regulations that may apply to working conditions in the public service.

Health and Safety

Health and safety at work is another fundamental area that affects the working environment of the employee. The extent to which it is regulated by legislation varies from country to country.

There is a difference between the organisation that simply complies with the minimum standards of the law (if any exist) in order to remain free from prosecution and the good employer who is principally concerned for the welfare of employees and uses the legislative requirements as a benchmark on which to base higher standards within the organisation.

Irrespective of any legislative requirements, a good employer is concerned about the health and safety of his or her employees and provides and maintains healthy and safe working conditions. The employer also seeks the active involvement of all staff in achieving this end.

A good employer looks after the health and safety of employees.

The objectives of such a policy on health and safety are to

- achieve standards of health, safety and welfare that comply fully with the requirements of the appropriate legislation and other relevant statutory provisions and approved codes of practice
- establish and maintain a healthy and safe working environment for members of the organisation, including the provision of personal protective clothing and equipment when necessary
- provide members of the organisation with the information, instruction, training and supervision they need to work in a healthy and safe way
- safeguard the health and safety of visitors, contractors and other non-employees affected by the organisation's activities on its premises
- develop health and safety awareness and responsibility at all grade levels.

It is incumbent upon both managers and staff to assess and then reduce the risk to health and safety posed by the workplace environment, by the operation of equipment or by working practices. At the same time a balance has to be struck between the risk and the cost of prevention.

A commitment to health and safety will demonstrate itself through established procedures and practices in a number of key areas.

Accidents at Work

In the event of an accident, assistance should be readily available from colleagues trained in first aid. Lists of the names, telephone numbers and office numbers of first aiders should be displayed prominently on notice boards, in all toilets and at reception points. First aid volunteers should receive appropriate training.

Additionally, staff involved in an accident or injury while on duty should be instructed to record the details in an accident book: a log of all accidents or incidents. This log can be an important requirement to safeguard the interests of the individual: for example, in case that person is later incapable of work or disabled by the accident and wishes to claim the appropriate injury benefits.

In addition to all the normal risks that office workers are likely to face (poorly maintained buildings, faulty equipment, defective electrical installations, and so on), records and archives staff are likely to be at risk of injury from lifting heavy loads, retrieving documents from high shelves, inhalation of and skin contact with dust and moulds and, in the case of preservation and conservation staff, working with knives, guillotines, presses and chemicals.

To reduce the risk of accidents, safe working practices must be identified and implemented by

- assessing the tasks to be performed
- identifying the hazards involved
- defining safe methods
- providing appropriate protective clothing
- enforcing compliance with health and safety methods
- regularly monitoring the system.

For more information on hazards in the records and archives environment, see Preserving Records and Emergency Planning for Records and Archives Services.

Smoking in the Workplace

Because of the fire risk, smoking should be banned in any areas of an archival institution in which archives are preserved, handled, consulted or exhibited. A similar ban should be enforced in the storage areas of records centres and in agency file stores, though it is more difficult to extend the ban to action officers who work with current and semi-current records.

Many organisations now ban smoking in the workplace for the sake of the health of all their employees. This could mean that staff are not allowed to smoke in any offices, corridors,

reception areas, conference rooms, libraries, lifts or toilets. In these circumstances, special rooms or areas may need to be set aside for use by smokers.

Problem Drinking

The drinking habits of the individual will normally be of concern to an employer only when they cause physical or social harm to colleagues or affect work to the extent that some form of help or other action is required.

The organisation's approach to problem drinking should be to treat it like any other illness, as a condition that requires help and treatment. Management should be able to provide every assistance to individuals who are prepared to co-operate fully in the various steps that can be taken to control their problem and aid rehabilitation.

However, providing help and support will not necessarily preclude applying normal disciplinary procedures where standards of work or conduct are unsatisfactory.

Drug Misuse

Those staff who think they have a drug problem should be encouraged to seek help voluntarily at the earliest possible moment.

Any member of the organisation with a drug problem that affects his or her work should be given advice, information and, if necessary, help with obtaining treatment. However, if anyone persistently refuses help or refuses to complete the treatment programme, and if this is reflected in poor performance or behaviour at work, disciplinary action will have to be considered.

Smoking, drinking and drug use are personal issues that can become organisational problems if the employee's work is affected.

Equal Opportunities

Increasingly, countries around the world are enacting equal opportunity legislation as part of their commitment to human rights. Such legislation gives everyone equality of opportunity for employment and advancement on the basis of ability, qualifications and suitability for the work. The legislation outlaws discrimination on grounds of sex, marital status, age, colour, ethnic or national origin, disability, religious affiliation or sexual orientation.

Even where there is no equal opportunity legislation, many progressive organisations are committed to a policy of equal opportunity for all. Equal opportunity policies bring benefits in terms of improved organisational effectiveness, helping to ensure that managers can recruit, develop and retain the best available people. In such organisations, all managers and staff are required to be aware of the organisation's policy on equal opportunities and should make sure that they abide by it in all their dealings with staff, including recruitment, training and development, transfers, promotion and discipline.

Some organisations recognise that the promotion of equal opportunities involves more than just a commitment to remove discrimination. They have committed themselves to positive action

to enable all individuals to develop their full potential and to work in an environment free from discrimination and harassment.

Activity 4

Does your organisation have a policy of equal opportunity? If so, explain the policy, what it applies to and how it is implemented. If not, write a brief statement of whether you think such a policy should be developed and why or why not.

Internal Communications

The lack of adequate communications within an organisation can be a constant theme. Such criticisms need to be taken seriously and radical changes may have to be made.

The criticism can often centre around one or more of the following general propositions.

- Management does not communicate sufficiently, regularly or openly.
- Senior management is not sufficiently visible and approachable.
- The formality of occasional open meetings with senior management is not conducive to a free exchange of views.
- The quality and frequency of internal communications tools vary and are not reviewed or improved.
- The office directory is not user friendly or is often out of date.

One way of testing such perceptions is to conduct a survey on communications. This survey could provide fresh insight into the problem, especially if it were conducted by a team of outsiders. On the other hand, it would probably be costly and would certainly take time to carry out. The benefits and drawbacks of conducting a survey would have to be weighed very carefully before any decision was made to go down this particular path.

Evidence from a number of organisations shows that staff prefer the main channel of communication to be

- face to face with managers
- regular
- task oriented but able to give the wider picture
- a two-way channel, with managers reporting upwards the views coming from below.

Regular exchanges and good feedback are critical to effective communications.

Practices and policies for implementing a successful communication strategy to meet these needs vary from organisation to organisation. In some, team briefings are held where an individual who is a good communicator is appointed to address the meeting in order to relay a clear set of messages deriving from the senior management. An undertaking to give feedback is an essential part of the arrangement. In other organisations, briefings or meetings occur within the normal management framework, with the line managers giving upward feedback.

Another possibility is the publication of internal documents, such as the records of meetings held at the senior management or board level. In some cases these minutes may have to be edited slightly in order to preserve individual confidentiality, but this should not distract from the underlying purpose, which is to keep staff informed of the way in which senior management is thinking and the direction that the organisation is likely to take in the future.

Office notices are a common means of disseminating information, but there may be scope for improvement in their clarity. It is important to consider

- timing: office notices should be circulated quickly, before a distorted message gets around on the grapevine
- language: the language used should reflect the audience and not cater solely to more senior staff
- background: a basic background knowledge of a topic may be incorrectly assumed.

In organisations with a large degree of computerisation, it would be worth considering the use of internal electronic mail, bulletin boards, listservs and so on. Using computer networks would enable users to view office notices and so on electronically rather than wait for them to be circulated in hard copy.

Communications in the wider context of dealing with senior managers and customers are dealt with in more detail in Strategic Planning for Records and Archives Services.

Activity 5

How does the senior management in your organisation communicate information to staff? What provisions are there for meetings or open discussions about projects, policies, organisational direction and so on?

Write a brief description of the communications systems and then describe two or three actions you would take to alter these systems in order to improve communications.

SUMMARY

Lesson 1 has demonstrated the following:

- human resources planning as a strategic activity
- job evaluation, grading guidance and schemes of service as management tools that assist in grading matters
- the factors to be borne in mind when filling vacancies
- the purpose of probation
- the key elements of induction
- the importance of functioning trade unions
- the key objectives of a health and safety policy
- the hallmarks of an equal opportunities employer
- the essential elements of good communications.

STUDY QUESTIONS

- 1. Explain the concept of human resources planning.
- 2. What is an organisation chart?
- 3. Define grading.
- 4. What criteria are used when grading a post?
- 5. Explain the concept of span of control.
- 6. Explain four problems that can result from an inconsistent approach to grading.
- 7. Explain three ways positions can be filled in an organisation.
- 8. Explain four issues a manager should consider when planning to fill a vacancy.
- 9. Define secondment.
- 10. Identify the three categories into which specific qualifications should be grouped.
- 11. Define the concept of a scheme of service.
- 12. Identify three benefits to developing a recruitment timetable.
- 13. Outline the suggested process involved with recruiting a candidate for a position.
- 14. Explain the suggested procedures for conducting a selection interview.
- 15. Why should a written record be kept of the interview?
- 16. What information should be contained in an appointment letter?
- 17. What is the purpose of probation?
- 18. What are the objectives on an induction process?
- 19. What procedures should be followed during an induction process?
- 20. What issues are usually included within the scope of industrial relations?
- 21. Describe four objectives of a health and safety policy.
- 22. Describe five actions that can be taken to reduce the risk of accidents in the work place.

- 23. Explain the concept of equal opportunities.
- 24. What problems can arise in the internal communications systems within an organisation?
- 25. Explain four different channels of communication.

ACTIVITIES: COMMENTS

Activities 1-5

Each of these activities is intended to help you compare the information provided in this lesson with the actual methods used in your own organisation. There are no 'right' or 'wrong' answers, and you may not be in a position to investigate many of these issues in depth or offer detailed suggestions for change. But you should take advantage of these activities to learn as much as possible about human resource management and consider how you might handle these issues if you were in an appropriate management position.

LESSON 2

HUMAN RESOURCES MANAGEMENT II: STAFF DEVELOPMENT

Lesson 2 carries on from Lesson 1 in introducing and explaining the issues involved in the effective management of human resources, dealing particularly with the development of staff potential.

Having recruited into the organisation the right person for the job, and having maintained his or her motivation by introducing good employer/employee practices, it is important that the organisation should go on to develop that individual's potential. This demonstrates the organisation's ongoing commitment to its employees.

Staff training and development are beneficial both to the employer and to the employee. The result for the employer is a more mature, better equipped employee who brings credit on the organisation. The employee not only gains increased job-related and management skills but in the process also becomes aware that he or she is valued by the organisation. This can do much to improve the motivation and self-worth of staff.

The alternative is not to invest in people. The consequence of this is that they can vegetate, becoming introspective and bored; there can be a noticeable decrease in their output and possibly a disillusionment with and resignation from the organisation. Every case in which this happens represents a loss of investment for the employer and, of course, further financial investment in order to replace the services of the individual who has left the organisation.

This lesson will suggest ways of maintaining the interest of the individual and creating new challenges by

- developing staff through good employer-employee practices, such as training, team building and succession planning
- making the best use of staff by investing in people through performance measurement and a range of other measures designed to help staff achieve more.

TRAINING AND DEVELOPMENT

It is important for the organisation to demonstrate that it is committed to training and development. A policy statement on training is a clear indicator to employees that the organisation is serious on this matter. One such statement produced by a West African government begins as follows:

The government recognises that all employees have the potential to improve their performance, and that training makes an important contribution to the nature and quality of their output. The government is therefore committed to making, within its means, appropriate funds available for an agreed programme of planned training.

The wording of the final sentence is important. Training must be agreed between the individual and his or her manager, normally as part of the annual staff reporting process. Training must also be planned. The purpose of these plans should be to meet the real training needs of staff in a cost-effective manner. The first step in developing a training plan must therefore be some form of training needs analysis.

Training must be planned and must meet the needs of the organisation as well as the employee.

There is no precise definition of what is meant by 'training needs analysis'. In practice, it can mean anything from a highly structured exercise in data collection and analysis to informal discussions with managers about the work of their staff. Whatever approach is followed, the aim is to have clear and accurate information about the training needs of staff.

The system considered below will facilitate the analysis of training needs in general. It is based on two assumptions.

- 1. There will probably be time constraints, imposed by the need to submit a training plan by a certain date.
- 2. Most senior managers spend little time thinking about training and do not find it easy to express themselves on the subject.

To be effective, a system needs to be developed that is straightforward, using a brief standard form and a set of guidelines on how it is to be completed. It should be the responsibility of senior managers to complete these forms for the staff who come under their control. This responsibility may be delegated to intermediate line managers if they so wish, but they must retain the overall responsibility for the task.

The Training Plan

The training requirements revealed in these forms are summarised in a training plan that matches training needs against training resources. In general, training for the clerical, secretarial and administrative classes will be arranged and funded centrally, as will most management and supervisory training. However, arranging professional training for the records class will be one of the functions of the Records and Archives Institution. The training needs analysis may suggest other specialised training for any of these classes.

Training plans represent a bid for funds from the central training budget, from the professional training budget for the records class and from the agency's own budget. All training proposals should be costed as accurately as possible (even when the costs of courses are to be met from

another budget), taking into consideration such items as course fees, food and accommodation, travel, books, training materials and examination fees.

There may already be funding in place for some training proposals, particularly from aid agencies. Information about the sources of funding should be included in the proposals for training plans, in order to give a complete overview of the training needs of the organisation and help with long-term planning.

Co-ordination of the exercise will normally rest with the agency's training or personnel officers, who are responsible for making training plan bids, amending the plan in the light of the response to those bids and, in due course, informing senior and line managers and the individuals concerned how much of the training plan has been approved and what changes may have been made.

Formal training plans allow the organisation to budget for training needs.

Self Development

The agency training plan considered above represents a centralised approach to training and development. However, a number of progressive organisations are rapidly moving away from the concept of central prescription and delivery of training toward one of self development, initiated by the individual, supported by the line manager and met from a central resource point for training and development.

Training has traditionally been interpreted as attendance on training courses, but this is beginning to be replaced by alternative learning systems, such as time out for directed reading, distance education, mentored studies or project-based research. There will continue to be a need for the provision of certain skills training, and some of these aspects are dealt with in greater detail below. But the drive now is to encourage staff not only to be responsible for the development of their careers but also to identify the infrastructure that is needed to help them meet their own goals.

A training policy designed to place more responsibility on the individual will differ from one designed for the traditional, centralised approach. Training plans are likely to be at unit rather than agency level and to include the following elements:

- defining personal development
- relating personal development to what the organisation is trying to achieve through its investment
- relating the individual's aims and objectives with the organisation's human resource strategy
- making work and the work place the main avenue for development activities, with traditional training used only when appropriate for specific needs (such as the induction for new recruits or staff on loan)

- focusing development activities on the achievement of competencies rather than formal qualifications
- utilising the competencies of staff by matching them to specific job requirements
- identifying a specific time allotment each year for personal development
- clarifying the responsibility of the individual to achieve his or her personal development objectives
- clarifying the role and accountability of the manager for training and staff development
- recognising senior management's need to evaluate formally the benefits of the organisation's investment in personal development.

In the light of this change of emphasis, it is necessary to develop a new range of human resources services and skills within the organisation. These services should include

- the development of a store of information to help managers and staff construct and achieve personal development objectives
- the provision of advice and guidance to individuals and their managers
- the sponsoring of cross-departmental activities such as seminars, mentoring and so on.

In summary, there needs to be a new emphasis on personal development, largely focused on the achievement of competencies and met mainly by work-related activities. There is a general feeling that responsibility should shift toward the individual, with the role and accountability of managers clarified. This is in line with best practice elsewhere.

Self development places more responsibility on the individual to identify his or her training and professional development needs.

Professional Development

Records and archives staff should regard themselves as members of a distinct profession, not just of a specialist records class. This professional identity brings with it opportunities and responsibilities.

As members of a profession, records and archives staff should be able to establish their own professional association, independent of government, managed by its own elected officers and open to members in both the public and the private sectors. In smaller countries, or in countries where records and archives management is still not well developed as a profession, the first step may be to establish a specialist subgroup within a related professional organisation (such as one for librarians or information specialists), but the end objective should be a separate association.

Records and archives staff should establish or belong to a professional association whenever possible.

Such a professional association should advance the cause of records and archives management by such activities as

- providing a forum for the exchange of professional experience through conferences, lectures and other meetings
- promoting training in the form of workshops, seminars and in-service training courses
- developing professional standards to improve the quality of records and archives work
- disseminating best professional practice through the preparation of journals, pamphlets, books and other written or audiovisual publications
- providing an international dimension to its activities by membership and participation in the activities of the International Council on Archives and its appropriate regional branch.

Along with these opportunities for professional development go professional responsibilities. These include adherence to a code of professional conduct or ethics, which sets out the standards of professional behaviour in relation to

- the records and archives for which members of the profession are responsible
- their employers
- the public
- their fellow professionals.

Activity 6

Describe the different types of training provided or allowed by your organisation. Are there formal training programmes? Opportunities for self development? Professional development activities?

Describe two or three actions you would take to increase the scope and variety of training programmes in your organisation.

MAKING THE BEST USE OF HUMAN RESOURCES

Much of the discussion so far about the management of human resources in the organisation has focused on management's awareness of the value of the human resource and the investment in people that is needed in order to maintain their motivation and commitment to the organisation. However, the organisation also needs to be very sure that its workforce is cost effective. Senior management needs to identify a form of measurement and network of support for its workforce in order to gauge the outputs.

This section is divided into two main parts. The first part is about performance measurement and how best that can be achieved. The second part is an acknowledgement that employees are

people and not machines; it describes some of the additional measures that may be necessary in order to further equip and assist the employee in continuing to achieve more. The result should be of benefit both to the organisation in terms of output but also to the individual in terms of achievement and job satisfaction.

Staff Reporting and Appraisal

In many Commonwealth countries, the system of annual staff reports inherited from the old colonial service has broken down in some countries and has remained unchanged since independence in others. This section, which takes a 'best practice' approach to the subject, may not, therefore, reflect accurately the situation in the student's own country. However, the principles discussed here are applicable in any work situation, even if they are given effect only in informal relationships between the manager and his or her own staff.

The aim of staff reporting and appraisal is to give feedback to staff on their performance in the job, including their strengths and weaknesses. The annual staff report is a key instrument in the personnel management process. It helps to identify training and development needs and includes the provision for making recommendations on incremental progression and promotion. Reports should be completed for all staff each year.

Staff reporting allows both managers and employees to improve the work performance and working relationship.

Within the public service, the methods used for reporting and appraisal are constantly being reviewed and revised. However, the key elements of the review process usually include the following:

- an element of self appraisal
- an objective setting, allowing for clear focus during discussions
- openness
- a relationship with the organisation's business planning process
- better training and development planning
- the use of an agreed form rather than an unstructured report
- a form adaptable to the needs of different groups of staff
- an opportunity to comment on performance for group-specific tasks
- informal reviews throughout the year
- an informal recording of the outcome of periodic reviews
- a flexible process for ensuring that job descriptions and development needs are regularly reviewed
- the introduction of competencies.

Job Plans

Before meaningful reports on and appraisals of the performance of staff can be made, it is necessary for both management and staff to know precisely what is expected of each staff member. Hence, it is important that management should specify and agree with each member of staff the duties and focus of the latter's job, particularly for the coming year. The document that records the staff member's job is known as a 'job plan'. The job plan is normally the subject of discussion and agreement between the staff member and his or her immediate line manager.

Job plan: A document, agreed between a manager and a member of staff, specifying the content of the job to be done and establishing criteria for judging performance in that job. Also known as a forward job plan.

The starting point of the job plan is the job description, but the job description alone is not sufficient. The job description may be considered the equivalent of the mandate, mission and aims elements of a strategic plan. To be effective, the job plan also needs to include a statement of personal objectives and performance measures.

The steps that need to be taken in formulating and monitoring a job plan are as follows.

- Be absolutely clear on the nature of the tasks that make up the job.
- Be certain of the time frame and establish what if any slippage will be tolerated.
- Establish whether tasks can be broken down into their constituent parts.
- Establish whether those individual parts can be assigned to different individuals; if so, assign them on this basis and make sure that the individuals concerned are clear on their respective accountability.
- Identify and establish the necessary control systems so that critical data is available for the purpose of monitoring and feedback.
- Establish evaluation criteria and an early warning system should things go wrong (with a route to senior management in critical cases).
- Establish a means to profile activity, together with the capability of intervening with mid-course corrections should this be necessary.
- Run occasional checks on peripheral activities.
- Plan ahead and leave nothing to chance.
- Take control and establish a system of spot checks; do not accept excuses for poor performance.
- Encourage and seek to reward good work but be tough on poor performers.

A job plan helps formalise the work expected of the employee and allows him or her a chance to contribute to the work programme.

Personal Objectives

Personal objectives usually fall into three categories:

- 1. job objectives (that is, those related to the performance of the subjects own job)
- 2. management objectives (that is, those related to the unit that the subject is managing)
- 3. development objectives (that is, those related to personal development).

Personal objectives should be consistent with the wider objective of the organisation and, like them, should be

- specific
- objective
- limited in number
- prioritised
- ends not means
- challenging but achievable
- measurable in terms of performance, output and cost-effectiveness
- reviewed during the year and amended if necessary.

Performance Measures

Performance measure: An indicator of effectiveness based on a standard definition of a process and the units for its measurement; also known as a performance indicator or target.

Performance measurement is an integral part of the appraisal process. Personal performance measures, linked to particular tasks, should be included in the agreed personal objectives.

Performance measurement helps to

- identify problems at an early stage by means of monitoring rising or falling trends
- support cases for increases (or decreases) in equipment, facilities or human resources
- provide a means for evaluating progress towards aims and demonstrating achievement of objectives
- show how well resources have been used
- keep line management informed of problems and results.

Performance measures can cover a number of processes, including timeliness, efficiency, unit cost, effectiveness, staff utilisation, work throughput, accuracy and quality of service. Once this information has been collected, simple ratios or performance indicators can be devised to

demonstrate efficiency. For example, performance indicators can be established for the number of items of incoming correspondence to be registered and circulated each day.

Performance measurement can be applied to areas where results have to be assessed subjectively as well as to areas where outputs can be counted. For example, a deadline could be established for completing the arrangement and description of a series of archives.

Performance measurement at the organisational level is dealt with in Strategic Planning for Records and Archives Services.

The steps required in developing an accurate appraisal system that will measure the performance of the individual are as follows.

- 1. Set relevant, measurable targets to increase the likelihood of accurate assessment.
- 2. Involve the employee in target setting, review and measurement.
- 3. Review targets on an ongoing basis to improve the accuracy and acceptance of measurement.
- 4. Measure achievements that are not easily defined, such as performance as a manager.
- 5. Increase the accuracy of measurement by moving away from rigid box ticking toward a realistic range of target achievement.
- 6. Acknowledge the relevance of both subjective and objective perception of accuracy.

The Annual Staff Report

Staff report: A document prepared at specified intervals (usually annually) as part of a formalised system for the assessment by managers of the performance and potential of individual members of their staff.

The annual staff report is normally completed by the staff member's immediate line manager and then countersigned by that line manager's own line manager.

The report assesses the performance of the individual staff member in relation to

- the objectives set out in the job plan
- the competencies set out in the job description
- the criteria for promotion to the next grade.

Reports are usually made on standard forms with boxes in which to record a mark. Any comments concerning each of the above performance categories.

Traditionally, the annual report has been a confidential document (hence the commonly used title of 'annual confidential report'). However, open reporting is increasingly seen as a means of ensuring that staff know precisely how management perceives their work performance.

Indeed, in some systems there has been a move to self assessment. Open reporting is an essential prerequisite for effective annual appraisal interviews.

Annual Appraisal

Appraisal interview: A structured interview between a line manager and a member of his or her staff to discuss the latter's performance over the past year and to agree a job plan for the next one. Also known as a *job* appraisal interview or job appraisal review.

The culmination of the annual staff reporting and appraisal process is an appraisal interview, in which the staff member has an opportunity to meet formally with his or her line manager (or in some systems the manager at the next higher level). The purpose of the meeting is to discuss his or her performance over the past year and to agree objectives and performance measures for the forthcoming one.

The appraisal interview provides the manager with the opportunity to explain the performance markings and to give due appreciation of work done well and constructive criticism of work done poorly. It is also the occasion at which the staff member may

- explain why targets might not have been met
- explore the possibilities of transferring to another area of work or moving to another (less or more demanding) job
- discuss training and personal development needs.

However, if there are major problems during the year, it should not be left to the appraisal interview to sort them out. Checks throughout the year must be in place

- to recognise work well done
- to amend job plans when circumstances change
- to identify problems before they become major ones and trigger remedial action.

These checks may be formalised as periodical appraisal interviews within the year.

A short written report of the appraisal interview should be agreed between interviewer and interviewee and the end product of the annual appraisal interview should be a new job plan, which starts the annual cycle all over again.

An annual appraisal interview should be followed by checks throughout the year.

Activity 7

Explain the processes used for performance measurement in your organisation. Are there formal job reviews? How often? What types of questions are asked? What opportunities are there for input from the employee?

Describe two or three actions you would take to improve the process of performance measurement in your organisation.

Succession Planning

Succession planning is the technique of grooming people for more senior appointments that may become available in the future, perhaps within two to ten years. It is a resource-intensive exercise that demands individual input from senior managers in the organisation; thus the technique is usually confined to top posts only. It can be crucial in specialised agencies with a limited pool of available staff, where the viability of the organisation can be dependent on the retention or smooth replacement of one or two key members of staff.

The aim of succession planning is not to identify the specific individual who will fill an individual senior post sometime in the future, but rather to groom a small number of well-qualified individuals from whom it may be possible to choose the successor. If, for example, the aim is to fill the post of Deputy Director of Archives within the Records and Archives Institution in five years, it may be possible to identify up to six people who might possibly fill that post in due course. During the intervening five years it is likely that half that number will be removed from consideration for reasons such as ill health, resignation or a tailing off in performance, bringing the final field down to just two or three.

Succession planning identifies possible candidates for a post that may be vacant in the future.

What has to be done to prepare a number of possible successors for specific posts? The first thing is to identify critical posts and then review the job description. From this can be derived the skill mix needed to satisfy the demands of the post.

Next, a small number of possible successors is identified. One or two of these may be at the same grade level as the existing job holder but in less critical posts. However, it is likely that they will be more junior and will be expected to grow into the post over the intervening years. It is possible that some of these likely successors will already have broadly the right mix of knowledge, skills and experience to fit them for the post in question, but comparing their career profiles to the job description of the post concerned will identify areas where specific knowledge, skills or experience are lacking.

The way forward then should be to work out a development plan for each individual to make up the deficiencies that have been so identified. These needs may be met by a mixture of job postings and additional training or development. For example, in the case of the Deputy Director of Archives post referred to above, it may be that Mr X has all the professional

knowledge, skills and experience but that so far he has not had the staff management responsibility that the post carries with it. In the intervening five years, it would be sensible to expose Mr X both to some formal training in the management of staff and to give him a job where he has greater staff responsibilities. Obviously it will be important to assess his performance in this area and to give the appropriate feedback.

In theory the process is pretty straightforward, but it can be quite time consuming. The value of the whole exercise is in forcing busy senior managers to think about a situation that is likely to arise in the near future and to formulate an active strategy to meet that situation rather than having to react to it, without preparation, a few years later.

Unfortunately, succession planning is not an exact science and cannot be wholly predictive. A whole range of unforeseen circumstances can affect the most well planned of situations. Therefore, some organisations work not only on planning for a long-term successor but also on identifying an emergency successor should something drastic happen to the present incumbent in the short term.

The key elements in succession planning are

- imposing on senior management the discipline of thinking ahead
- identifying a small field of candidates from which to choose
- making sure that gaps in knowledge, skills and abilities are bridged by a mixture of postings, training and development
- being prepared for the unexpected.

Team Building

Increasingly, teams are being used to maximise the effectiveness of staff resources in achieving either short-term goals or longer term fundamental change. It is a human resource strategy built around the need to deliver specific objectives in the organisation within a designated time.

In teams the emphasis is placed upon working together in partnership to perform a task rather than upon the manager/subordinate relationship of conventional organisational structures. Work is divided up vertically in accordance with individual competencies rather than horizontally by grading hierarchy. Effective team building requires such attributes as openness, candour and mutual support, all intended to increase the level of mutual trust among team members.

Team building maximises staff resources.

Team building has three clear stages. The first is looking at the task to be done; the second is looking at the people available; the third is moulding them into a team to perform the task.

Stage 1: The Task

• Break down the task into its constituent parts (by type).

- Seek to define each of the parts by function.
- Assess the competencies required to perform each of those functions.
- Enunciate the competencies and seek to group them together.

Stage 2: The People

Considering who should join a team should involve looking at both those already available within the team, as well as those currently outside the team who may be available to join it. Selecting people involves

- assessing each individual's specific strengths and weaknesses
- identifying potential team members by reference to the skills identified in the first stage
- deciding which people have the most suitable mix of skills.

To be successful, teams should be balanced, with individual strengths complementing each other. Individual weaknesses can be tolerated and compensated for provided there is someone else in the team with the relevant strength.

A degree of sophistication can be brought into this stage of the process, depending on the time available to make the choice and the nature of the task to be performed. For example, an assessment centre could bring together possible members of the team and, by exposing them to a series of tests and exercises, help identify who would be best qualified to work together.

However, this process may be a luxury that cannot be afforded in terms of time or expenditure. Decisions may have to be based on known information about the potential team members and informal consultation with peers and previous line managers, as well as on conversations with the individuals concerned.

It may be too much to expect that the exact combination of the skills required will be found in the individuals available. As a result, it may be necessary to build in additional skills by exposing potential team members to specific areas of training and development.

Having selected the members of the team, the next steps will be to

- assign them their role, outlining what is expected of them
- allocate specific tasks and target dates
- monitor their individual performance
- evaluate the effectiveness of their team performance.

It may then be necessary to make further adjustments by giving feedback and realigning the roles slightly.

An explanation of the roles that exist in a team and their respective functions has been developed by the management planner Meredith Belbin; this is summarised as follows.

- The *Chair* has a strong sense of overall objectives and is good at controlling and co-ordinating resources.
- The *Shaper* has a strong sense of drive and urgency and a readiness to challenge lack of progress.

- The *Plant* has the ability to scatter around lots of ideas (seeds) and is the source of a team's creativity.
- The *Monitor/Evaluator* has the ability to process large amounts of information in an analytical, objective way.
- The *Resource Investigator* has the capacity for making effective contact with people beyond the team's boundary and for exploring anything new.
- The *Company Worker* is able to foresee how ideas and plans will work out in practice: that is, what practical issues will need to be faced.
- The *Team Worker* promotes team spirit and has the ability to bind a team together.
- The *Completer/Finisher* has a strong capacity for follow through coupled with a striving for perfection.

Although each of these team members will be expected to take full responsibility for areas of work within his or her area of competence, this does not rule out the need for firm and clear overall leadership. This will often be provided by the 'Chair'.

Activity 8

Which of these roles best characterises your type of personality in the work environment? Rank the eight different roles from the one that most characterises you to the one that least characterises you. Consider whether you have been given the opportunity in your work to fulfil the functions you believe you do best.

Stage 3: The Team

To accomplish a task successfully, team members must not only perform their individual roles well but also work together towards a common goal through the pooling of ideas and information. It is the responsibility of the team leader to facilitate that process through the application of good staff-management practices in the work place. In particular, team members should be encouraged to discuss the task to be performed and to contribute ideas and information relevant to the task as a whole and not just to their own particular roles in it.

This sharing of ideas and information may be best achieved through regular, structured team meetings. Two suggestions for organising such meetings follow.

THE FIVE-STEP MEETING PLAN

The five-step meeting template will help to ensure that team meetings accomplish what they should in accordance with the team's terms of reference and schedule.

The steps are as follows.

- 1. Identify the purpose of the meeting. This should be taken from the team's terms of reference and schedule.
- 2. Based on the purpose, list all the end results which should come out of the meeting (outputs).

- 3. List all the steps in the process that will be needed to produce the expected outputs; also identify how much time should be allotted to each of the steps in order to keep the meeting within a reasonable timeframe.
- 4. List the skills, knowledge areas and other requirements needed to complete the steps in the process; if team members lack any of the skills needed to complete the steps provide 'just in time' (JIT) training prior to or during the meeting.
- 5. Plan feedback mechanisms by leaving a few minutes at the end of each meeting to assess how well the team has functioned.

At the beginning of each meeting the team should agree to appoint individuals to act as facilitator, recorder and timekeeper.

The role of the *facilitator* (traditionally called the chair) is to

- ensure that the team's discussion stays on topic
- guide the discussion in a manner respectful to all team members
- ensure that each team member has an equal opportunity to express his or her views
- create a meeting environment which is conducive to sharing different views and ideas.

The role of the *recorder* (traditionally called the secretary) is to

- eliminate the need for other team members to take notes
- record all ideas and suggestions
- distribute a summary of the meeting, with action points, to all team members as soon as possible after the meeting
- prepare an agenda for the next meeting.

The role of the *timekeeper* is to

- ensure that all team members are aware of the time allowed for discussion of each topic on the agenda
- ensure that the time spent discussing a particular topic does not exceed the time allotted for it on the agenda
- give the team members gentle reminders when time for discussion of a topic is running out.

Team members also have an important role in making team meetings effective. They must

- contribute their opinions, knowledge and experience to the discussion
- encourage each other to participate (for example, by inviting quieter members to speak)
- prepare for each meeting
- attend all team meetings.

Team members should establish the team's rules of operation at its initial meeting. The purpose of establishing team operating rules is to create an environment during team

meetings in which all members feel completely at ease in discussing their ideas and expressing their opinions. If such an environment is not fostered, the team will not function effectively and valuable information and ideas may never come to light.

Team rules of operation should reflect the shared values and standards of behaviour of all team members. It is a good idea to post them in the team's meeting space as a visible and constant reminder of those values and standards. The rules might include agreement by team members to

- arrive at meetings on time
- let the facilitator know prior to the meeting if they must leave before the end of the meeting
- keep discussion focussed on the topic in hand
- suggest not state in an argumentative tone alternative methods or concepts
- ensure all efforts to participate are respected and encouraged
- remain objective
- wait for others to finish speaking before speaking themselves
- make decisions by consensus.

Activity 9

Think of at least three advantages of organising team meetings according to the five-step meeting plan. Can you think of any disadvantages?

BRAINSTORMING

Brainstorming is a variation on the five-step meeting plan that can be especially effective in encouraging team members to participate in discussions and generate new and creative ideas, such as when establishing a team's terms of reference and defining its anticipated outputs or when dealing with unexpected difficulties. Brainstorming is a technique used to help a team generate as many ideas as possible in as short a time as possible.

Brainstorming can be carried out in two ways.

- 1. *Structured*, in which every member of the team expresses in turn his or her ideas on the topic under discussion (keep in mind that this can be uncomfortable for shy people and repetitive as team members restate the same ideas).
- 2. *Unstructured*, in which group members express ideas about the topic under discussion as they come to mind (if this approach is used, the facilitator of the meeting must ensure that the team is not dominated by the most vocal members).

During brainstorming ideas are never criticised and every idea is recorded. After the team has generated an acceptable number of ideas during an agreed period of brainstorming (10 to

15 minutes will usually be long enough), the team then evaluates the ideas. The facilitator has an important role to play in the process. He or she may have to put forward the first idea to get the process started and must ensure that a permissive and open atmosphere is maintained throughout.

Activity 10

Identify a small operational problem you are presently experiencing or have experienced in the past in your office. Practice brainstorming ideas for a solution with other office staff or alone if no one is available to practice with you.

Stress Management

In seeking to improve the levels of performance, there is always the danger that the system will overheat and create a certain amount of stress among the workforce. It is therefore important to be aware of the need for stress management techniques.

In some organisations, stress-related illnesses are on the increase; thousands of work days are lost each year as a result. The underlying cause is overwork (in terms of the load or the weight of the job) and this can result in a number of unhealthy workers. People are just not able to cope with the demands placed upon them.

Managers need to be aware of the symptoms of stress, for example unexplained sick absences, tiredness, lethargy, headaches, a failure to meet deadlines and the onset of depression. Identification of such symptoms at an early stage is very important and managers should be aware of their responsibilities in this area.

Both staff and managers can fall victim to work-related stress.

This means keeping an eye on members of the workforce and being available for them. The manager's responsibility is to keep workloads under review and to make the necessary adjustments. It should also be possible for the individual to take time out in order to recuperate and to be aware that the organisation is supportive and not condemning.

This important aspect of management requires

- understanding the stress syndrome at work, what to look out for, if there is a possibility that an employee's performance is the result of stress
- a procedure for dealing with stress cases so as to avoid costly legal actions by employees
- making sure that key staff are told how to identify and handle any employee showing signs of work-related stress
- knowing the employment law, the correct procedures to follow and who to turn to for professional advice.

The options for an employee clearly diagnosed as suffering from stress include providing support, changing the job or considering alternative work.

Delegation

Delegation: The granting to staff of the authority and freedom to perform tasks normally carried out by the manager while he or she retains the accountability.

In addition to looking at the individual, it may be necessary to consider how the work has been organised. If a manager fails to delegate sufficiently, one or more of the following symptoms may be observed.

- The manager has to take work home every night.
- The manager works longer hours than those he or she supervises.
- The manager has unfinished jobs accumulating or difficulty in meeting deadlines.
- The manager spends more time working on details than on planning and supervising.
- The manager believes that he or she should be seen to be heavily loaded in order to justify his or her salary.

Delegation brings with it benefits not only for the manager but also for the staff being supervised. Benefits to staff include

- better motivation and team working through demonstration of trust
- increased job variety
- improved communication as staff become aware of what the manager's job involves
- better chance to demonstrate suitability for promotion
- enhancement of confidence.

The benefits for the manager include

- more time for other tasks
- an opportunity to form judgements about the suitability of staff for promotion
- development of a more effective team, since staff members can cover for the manager during periods of absence
- improved communication within the group.

There are inherent dangers in delegation; the manager needs to be aware of these. Consider the following examples.

- The task does not get done.
- The task is completed but not done correctly.

- A task beyond a delegate's capabilities may destroy his or her confidence.
- Willing people get overloaded.
- Boring tasks get dumped on staff.
- Credit is not given if the task is done well.
- Any praise is taken by the boss, not the person who actually carried out the task.
- If the job is not done well, the delegate gets the blame.
- The task might be done better by the delegate and this can be perceived as a threat by the manager.
- The manager sets standards that are too high.

Hence, it is important that the process of delegation is managed properly. For example, in introducing delegation for the first time, it can be extended in stages as the manager grows more confident that the member of staff can be trusted to carry out the task effectively. For example, there could be three stages, each allowing progressively more independence on the part of staff. When first delegating to a member of staff, the manager is wise to begin by using automatic check points to ensure that the task is being done. Later, it may be appropriate for the manager to move to delegation by exception or full delegation.

Stage	Supervision by	<u>Statement</u>	
1	automatic check points	'Don't take any action on this particular point until you have consulted me.'	
2	Exception	'Get on with the job, but let me know if you need advice, help or support.'	
3	formal delegation	'Get on with the job; let me know what happened afterwards.'	

Good delegation allows the manager to fulfil other tasks and expands the employees skills and expertise.

While delegation is a useful management tool, overall accountability cannot be delegated. In addition, the following items remain the responsibility of the manager and cannot be delegated:

- setting objectives and planning the work of the unit
- organising staff into a team that can carry on efficiently with the least supervision
- motivating and delegating to staff
- responsibility for the unit.

Time Management

Time management is a key skill. Even if offices are well organised and supervised, staff are well trained and delegation is in operation, it will be difficult to deliver an efficient service unless the staff manage their time effectively. This involves setting objectives, planning resources and determining the time needed to achieve various activities.

The first step to be taken in effective time management is to become aware of how people approach their work and how they use their time. In a short self analysis, the following questions can start the ball rolling.

- Am I trying to accomplish too much in a day?
- Have I adequately prepared for the tasks I have set?
- Was I sufficiently well disciplined (for example with difficult or boring tasks)?
- Did I have all the information I needed to complete the task?
- Did I allow myself to be distracted by something not really a priority?
- Am I dealing successfully with interruptions?

Tasks can be classified in terms of two dimensions: importance and urgency. In this connection, 'urgent' means tasks that need to be done quickly and 'important' means tasks that have a major effect on the individual's job or the organisation. The greatest danger is letting the urgent overtake the important. We live in constant tension between the two. The problem is that the important task rarely must be done today, or even this week; the urgent task calls for instant action. But if left too long, the important task may become urgent. Staff must learn to set priorities for their work and to keep a balance between those activities that must be completed immediately and those that, although less pressing, are an important component of providing an efficient service.

Time management involves completing important tasks before they become urgent tasks, and not becoming overwhelmed by unimportant activities.

Figure 3 is a simple model that can be used as a way of looking at priorities.

Using this model, it is possible to think about the range of tasks in any given job and write each of them in the appropriate segment of the model. For example, a need to prepare financial estimates for next year by the end of the month would be both important and urgent, that is, to the left in the model.

With this classification to hand, it is then possible to think of ways in which the individual tasks can be handled.

- A *Both important and urgent*: These tasks demand first claim on your time.
- B *Important but non-urgent*: Set deadlines, delegate.
- C Urgent but not important: Can you complete these quickly and get them out of the way?
- D *Not important and non-urgent*: Why are you doing them?

URGENT	NON-URGENT
A	C
IMPORTANT	NON-IMPORTANT
В	D

Figure 3: A Model for Assessing Priorities

There are a number of commercial time management systems on the market, but the principles they enshrine are basically the same as those set out above. Each of these commercial systems build in various degrees of sophistication but in each case the key elements will be as follows.

- 1. List goals, set priorities.
- 2. Make a daily 'to do list'.
- 3. Start with As, not Ds.
- 4. Concentrate on 'process'; do not get bogged down in 'content'.
- 5. Handle each piece of paper only once.
- 6. Anticipate problems before they occur.
- 7. Block out chunks of time.
- 8. Have timed appointments.
- 9. Review performance regularly.

Activity 11

How do you assess priorities for your work and manage your time? Consider a recent project or activity you undertook. How would you change your time management systems in order to be more effective? Write a brief description and outline the steps you would take.

SUMMARY

Lesson 2 has demonstrated

- the essential elements of training and development
- the essentials of staff reporting and assessment
- the key elements of succession planning
- the process of team building
- the manager's responsibilities in the area of stress management
- the benefits and dangers of delegation
- the key considerations in time management.

STUDY QUESTIONS

- 1. Why is a policy statement on training and development important to an organisation?
- 2. What is the concept of a training plan?
- 3. What is the concept of self development?
- 4. Explain at least five elements that might be included in a statement on training and development.
- 5. Describe three human resources services and skills that should be developed to meet training needs.
- 6. Explain the purpose of a professional association for records and archives managers.
- 7. Identify four activities a professional association might undertake or promote.
- 8. A professional code of conduct will set out the standards of professional behaviour in relation to what four areas?
- 9. What is the purpose of an annual staff report?
- 10. Define competencies.
- 11. What is a job plan?
- 12. Explain six steps that need to be taken in formulating and monitoring a job plan.
- 13. What three categories do personal objectives usually fall into?
- 14. What is a performance measure?
- 15. What steps should be put into place to establish an accurate appraisal system?
- 16. What areas of staff performance are covered in a staff report?
- 17. Define an appraisal interview.
- 18. Explain the concept of succession planning.
- 19. Identify four key elements in succession planning.
- 20. What is the concept of team building?

- 21. Explain each of the roles found in a team, as developed by management planner Meredith Belbin and summarised in this lesson.
- 22. Identify four key issues to consider when establishing processes for stress management.
- 23. Define delegation.
- 24. Identify at least four benefits to staff and four benefits to the manager of delegation.
- 25. Identify at least five dangers inherent in the process of delegation.
- 26. Explain the concept of time management.
- 27. What is an important task?
- 28. What is an urgent task?
- 29. Explain the eight steps involved with good time management.

ACTIVITIES: COMMENTS

Activities 6-11

Again, each of these activities is intended to help you compare the information provided in this lesson with the actual methods used in your own organisation. These activities are also designed to help you understand your own personality and methods of working, in relation to the 'types' or 'models' outlined here.

There are no 'right' or 'wrong' answers, and you may not be in a position to investigate many of these issues in depth or offer detailed suggestions for change. But you should take advantage of these activities to learn as much as possible.

LESSON 3

FINANCIAL MANAGEMENT

Lesson 3 is designed to provide both the theory and practice of achieving effective and efficient financial management. The development and maintenance of record management and archives systems requires a financial investment. It is therefore vital that managers understand the financial processes and practices involved in securing the right financial provision at the right time.

Since the mid-1980s, there have been significant changes in the way public servants work. Today, there is a greater emphasis on accountability, transparency, audit and redress. At the same time, budgets are tighter and resources fewer; senior managers are constantly looking for value for money in any expenditure they undertake.

It is more important than ever to get the finances right, but this is much easier said than done. Those responsible for planning projects, from a social function to a multi-million dollar construction scheme, often underestimate the costs and time involved.

At the same time there has been a move from cash accounting and annuality to resource or accruals accounting, more akin to accounting procedures in the private sector.

- Cash accounting includes only the transactions that actually take place within the period covered by the account. It is traditional in government. Under this system, receipts and payments are recognised only when cash is received or paid. The emphasis is on the objects and purposes for which funds have been received and paid out during a particular period. C ash basis accounting is also used when the system lacks enough sophistication to implement accruals accounting and the benefits of major changes do not justify the cost of restructuring the whole system.
- Accruals accounting reflects all the transactions proper to the period of the account without regard to the actual date of payment or receipt. It recognises transactions when they occur irrespective of when cash is paid or received. Transactions are recorded in the accounting record and reported in the financial statements of the period in which the service was received (expenditure) or rendered (revenue). Financial statements prepared on an accrual basis indicate past transactions involving payment and receipt of cash, as well as future obligations to pay and payments to be received in the future. This facilitates economic decision making, by making it easier to account for the use of resources, focus on performance and measure outputs.

However, these changes have not yet been universally applied and this lesson assumes, therefore, a traditional framework of cash accounting in the form of traditional annual public sector estimates and accounts.

Like all administrative processes effective management of financial resources is heavily dependent upon good record-keeping practices. These are specifically dealt with in *Managing Financial Records* and will be mentioned only in passing in this lesson.

For more information on the care of financial records, see Managing Financial Records.

This lesson will help managers to

- identify and understand the financial environment in which they operate
- learn and use the skills to enable them to maximise their effectiveness in managing their financial resources
- explore alternative ways of funding the activities for which they are responsible.

It will also demonstrate how to

- define the funding needed
- obtain those resources
- monitor how they are used
- maximise their effectiveness.

WHERE THE MONEY COMES FROM

Within government, there are a range of ministries and agencies responsible for managing public sector finances. The processes followed in public sector financial management throughout the Commonwealth are broadly similar; while the titles and the precise roles of the responsible ministries and agencies will vary from country to country, they all perform three basic functions:

- 1. deciding how funds raised through taxation should be shared out between the various parts of the public sector (usually the responsibility of the Ministry of Finance or its equivalent)
- 2. handling the cash flow and accounting for the disbursement of public funds (usually the Accountant General)
- 3. inspecting and sampling the activities involved in collection, handling and disposal of public money (usually the Auditor General).

In most countries, the financial and accounting principles followed in the public sector will be set out in a government publication with the title *Treasury Accounting Instructions* or something similar, supplemented from time to time by regulations covering specific issues.

In most countries, financial principles are outlined in specific government publications.

The process by which public funds are planned and controlled is basically one of moving from broad plans to ever more precise and detailed descriptions of what will be done when. Agencies

usually have a strategic plan in which the activities of the agency are projected forward over a period of, say, five years starting from the beginning of the next financial year. The expected costs of the proposed programmes over that period are set out in this strategic plan. Guidelines will usually be issued by the budget authority on how this document is to be prepared. It may be that the agency is asked to frame its strategic plan within several different financial projections corresponding to differing rates of growth or decline in annual expenditure.

Strategic plans are discussed in more detail in Strategic Planning for Records and Archives Services.

This strategic plan will be built up from information about the past and the detailed plans and proposals of the various parts of the agency. This information is amalgamated into the composite strategic plan for the whole of government, sometimes called the public expenditure survey. However, agencies will usually not have a completely free hand in deciding how, when and where funds are to be spent. Examples of formal limitations on the autonomy of individual agencies include the following.

- Pay, pensions and allowances are decided by the government.
- The agency's reports and accounts have to be kept and presented in a particular form prescribed by the government, with accounts audited by the Auditor General.
- The agency is subject to expenditure control through the normal processes of the government's accounting system.
- It is necessary to refer to a higher body or sector ministry concerning unusual proposals or those above a certain financial level.

Activity 12

Which ministries, agencies or departments are responsible for the management of funds within your organisation? Explain each of the positions and the scope of their responsibilities.

Accountability

A key principle in this planning process is public accountability. This means that the accounting officer of an agency is specifically required to make sure that it is organised and staffed on sound lines, that it carries out its affairs efficiently and economically and that it is able to account for the use made of resources as a proper and justifiable use of public funds. The accounting officer must ensure that public funds are applied only to the purposes intended and that all expenditure is covered by appropriate authorities.

Accounting officer: The senior civil servant (such as the Permanent Secretary) of an agency that has its own vote who is responsible to parliament (through the Auditor General) for the 'propriety and regularity' of the expenditure of the agency's vote.

The following general principles relate to any financial transaction or proposals.

- Funds must be available to meet commitments.
- The proposed use of the funds must be in accord with the purposes for which they were allocated.
- The proposal must be within the agency's delegated powers or, if not, a specific authority from the appropriate body must have been obtained.
- If the proposal is unusual, even within the agency's level of authority, there must be either a specific authority or an acceptable precedent.
- The agency must not perform functions more appropriate to another public body.
- The proposal must represent the most efficient and economical use of resources to achieve the objectives.
- Suitable management, funding, accounting, contracts and security arrangements must be in place.

Accountability is a key component of public sector financial management.

Estimates

The budget is normally developed and then monitored for one financial year. For planning purposes, the statement of proposed expenditures must be more detailed than the one found in the strategic plan. This detailed statement is geared to the business plan and is usually referred to as 'estimates'.

Estimates: A statement of how government proposes to spend the public funds that it seeks for the next financial year.

Business plans are discussed in more detail in Strategic Planning for Records and Archives Services.

Estimates are often based on the assumption that no more funds than those included in the first year of the strategic plan will be allocated. The estimates are usually set out in a particular format required by the budget process. This may require the agency describing its proposed expenditure (its 'bid') in certain broad national accounting categories rather than in the terms the agency itself uses to plan its activities and account for its spending.

Initial bids from individual units within an agency are scrutinised by the agency's own finance unit, which may reject or amend them. Then they are combined into an agency bid, which is then scrutinised by the ministry responsible for the estimates and the cabinet. From this process the government's agreed estimates emerge for approval.

At or before the start of the financial year, the agency will probably be reminded what provisions exist in estimates for each main spending area. The agency will be asked to decide what allocation of funds it wishes to make, in light of any changes that may have occurred since the estimates were agreed. Thereafter there may be opportunities at intervals throughout the year to adjust the allocation of funds within the overall budget. The ultimate aim is to ensure that the agency spends neither more nor less than the net funds made available to it. An example of a budget cycle is shown in Figure 4

.

BUDGET CYCLE							
Real T	ime	Last Year	Current Year	Next Year	Next Year +1		
		1999/2000	2000/01	2001/02	2002/03		
		(Auditing)	(Operating)	(Budgeting)	(Planning)		
2000	April	Provisional Report on Expenditure	Funds Released	Budget Preparation	Strategic Plan Preparation		
	July		First Forecast of Expenditure				
	Oct	Final Report on Expenditure	Mid-year Forecast of Expenditure	Proposed Estimates	Guidelines for Strategic Plan 2002/03-2006/07		
2001	Jan		Third Forecast of Expenditure				
	March		Fourth Forecast of Expenditure	Estimates 2001/02	Strategic Plan 2002/03-2006/07		
2001/0	2		(Auditing)	(Operating)	(Budgeting)		
2002/0	3			(Auditing)	(Operating)		

Figure 4: Budget Cycle

The aim of developing estimates is to keep the organisation on track, spending neither more nor les than the funds available.

Activity 13

Explain the process used in your organisation for developing the annual budget or estimates.

Other Sources of Funding

There may be other organisations, such as donor agencies, charities and foundations, that are willing and able to fund records and archives activities. There will usually be rules and procedures that need to be followed in approaching them. In particular, it is necessary to know whether the Records and Archives Institution or an agency (on behalf of its records management unit) can approach these funders directly or whether the approach has to be channelled through another public body, such as the government ministry responsible for development. It is also necessary to understand the timetables, processes and funding priorities of the individual organisations to maximise the opportunity to receive funds.

Any approach to a potential donor for assistance must be carefully prepared. There must be commitment on the part of the requesting organisation and full support from the government. Some degree of local input should be on offer, even if that is initially only in the provision of facilities and counterpart human resources. Application must be made through the appropriate and proper channels.

The project itself must be well defined in a detailed project proposal that sets out a realistic timetable for preparation and implementation and is costed fully and precisely. The project must be achievable and in line with the clear priorities of the requesting organisation, such as may be outlined in the strategic plan. There must be a guarantee of continuity of financial and other necessary resources once the project has been completed. In general, aid agencies do not fund the ongoing running costs of records and archives activities (such as staff costs) and look most favourably on those applications where assistance with infrastructure development, training and capital provision (buildings and equipment) will spur continuing local development.

Activity 14

Does your organisation receive donor funds for its work? Explain the types of projects funded and the donor agencies that provide the funds, if this information is accessible to you.

BUDGETING

As a famous Englishman once wrote, 'the act of budgeting is all about men and women spending long hours in large rooms to reduce to figures what is the matter and what is to be done...'

Dr Kwesi Botchwey, Minister of Finance, Ghana, introducing the 1995 budget.

Budget: A statement of a financial position for a specified period of time, based on estimates of expenditure and proposals for financing them.

Constructing a bid for funds, whether to the government or to an external organisation, requires careful and detailed preparation. At the core of any case justifying the allocation of those funds, there must be a sound budget.

Budgets can be prepared for any activity, from a child deciding how to spend his or her pocket money to a government running a country. In agencies, budgeting occurs at all sorts of levels. It is most likely that managers in the records and archives field will be involved in preparing at least part of all the overall budget for their agencies as well as budgeting for specific records-and archives-related projects. At whatever level, budgeting is about forecasting how much money will need to be spent and when and then monitoring progress against that forecast.

The budget is basically a plan expressed in numbers. Its preparation is a vital part of any proposal. People will not agree to the proposal if they are not told how much it is likely to cost to implement and when. Don't forget the 'when'. More businesses fail through cash flow problems than any other reason. It is no good having a promise of funds for next year if you need to pay for something in this year.

A budget is a plan, expressed in numbers.

In the public sector budgets usually relate to an entire financial year. Budgets may come in a number of basic forms.

- *Line-item budgets* list categories of expenditure for the coming year according to the objects of the expenditure, or line items, which specify how much money a particular agency or sub-unit is permitted to spend on personnel, fringe benefits, travel, equipment, and so on. There is no linkage to their purposes or the activities to which they relate. They are usually managed centrally.
- *Performance budgets* charge categories of expenditure to specific activities or 'cost centres' (such as repository management, arrangement and description) and relate each activity to its costs. This allows the budget to be built on the basis of anticipated workload rather than incrementally as in traditional line-item budgeting.
- Programme budgets focus on budgetary choices among competing policies and treat the
 different budget objectives as variable. In practice there may be little difference between
 performance and programme budgets. Both are usually managed locally by the line
 manager responsible for the activity or policy, who has authority to transfer funds within
 his or her overall budget between categories in accordance with business priorities
- Zero-based budgets arrive at a budget by literally starting from scratch. At the national level, this would require answering such questions as 'what if we did not have an army?' or 'what if national insurance did not exist?' This has not proved useful as an annual budget tool.

Developing and Deciding upon a Budget

The steps to take when developing and deciding upon a budget are set out in Figure 5.

No one can be expected to predict the future with absolute accuracy. Indeed, a major purpose of budgeting is to be able to recognise when things are not happening as anticipated.

If there are significant variations in progress over the year, you should consider why the project is not performing as forecast. You may need to revise the budget for the rest of the year in the light of the rate of progress to date. You may be able to make certain conclusions about future progress based on your examination of present expenditures.

It may also be necessary to take some management decisions about changing the nature of the project. Does the completion date need to be extended? Should more staff be involved? Should the scale of the project be reduced?

<u>Steps</u>	<u>Actions</u>
1	Decide the period that should be covered by the budget (such as a year). Then decide what periods the budget is to be divided into (such as weeks or months).
2	Forecast activity levels for each of the periods. Remember, activity is unlikely to be spread evenly over the year and the forecast should reflect this.
3	Having established the level of activity for each period within the budget, now forecast the money needed to meet the costs of that activity.
4	Forecast the level of each of the overhead expenses (these are discussed below).
5	Finally, confirm that the plan fits into any overall budget for the agency or unit.

Figure 5: Steps in Developing a Budget

Activity 15

Imagine you are responsible for establishing a budget, for anything from redecorating a room in your house to organising a major archival project. Define the project and then write a brief but informative description of the actions you would take in each of the five steps listed above in order to accomplish the work of the project, on time and in budget.

How would you determine the costs of the project? How would you determine the time involved? Write a brief description of each process and indicate where you would have to do research or gather additional information to ensure your projections were as accurate as possible.

A Few Tips

The objective in budgeting is not to get everything absolutely right but rather to ensure control.

The quality of a forecast depends upon the quality of the assumptions made at the outset. The information on which those assumptions are made must be up to date, must relate to the right areas and must come from the right managers. Avoid mistakes that have been made in the planning and forecasting of earlier budgets.

Make allowances for the unexpected.

Build in some contingency in order to allow scope for minor variations in the budget without having to recast the whole thing completely. The size of the contingency will vary according to the size and subject matter of the budget. Remember, however, that the contingency must not replace hard, accurate information and careful planning.

Remember the need to plan for when a bill will be payable and not necessarily for when the service or goods will be supplied.

The most common mistakes in budgeting are an overoptimistic view of the timetable and the cost. Most projects, from painting an office to building a city, take longer and cost more than originally estimated by the project planners.

Costing

In order to construct a budget, and to bid for funds, it is necessary to be able to work out how much things cost. Although this sounds simple, in government there can be a bewildering array of ways to calculate costs. There may be

- full costs
- market costs
- subsidised costs
- standard costs
- actual costs
- hidden costs
- additional costs
- marginal costs.

Which ever method of calculation is used, costs can be further categorised as

- fixed or variable costs
- direct or indirect costs.

On top of this, there may be systems in place to take into account the effects of inflation on budgets.

The manager will need to know the basis on which costing is carried out in the public sector in his or her own country. The following paragraphs describe how to calculate costs for an activity. These approaches used will be valid whatever costing level is used; however, it is vitally important that in practice the costs are presented according to the system used in the country concerned.

Specific methods used for costing will vary from country to country and government to government.

Fixed and Variable, Direct and Indirect Costs

However costs are accounted for, some expenses involved in an activity will be fixed and others will be variable. Similarly, some expenses will be directly related to the activity (direct costs), whilst others will be a proportion of the overall running of the agency (indirect costs). Generally, direct costs will be variable depending on the level of activity, while indirect costs – mostly overheads – will be fixed, but this relationship will not always exist.

In a project to remove semi-current records from an agency to a records centre, an example of a direct and variable cost would be the purchase of boxes in which to store the records. This is a direct cost because the boxes are only needed because the records are being taken into the records centre. It is a variable cost because the number of boxes required is dependent upon the number of records to be moved.

An example of a fixed and indirect cost would be the security arrangements in the records centre. The records centre exists, and arrangements for night watchmen and so on need to be made irrespective of whether there are only a few records in the centre or it is full.

An example of an indirect variable cost on such a project might be the maintenance on the vehicle used to move the records, assuming that the vehicle belongs to the records centre. The records centre will have made some provision for maintaining the vehicle. Perhaps it is planned that the vehicle should be serviced annually, but if it is heavily used as part of this project, it may be necessary to service it more frequently. On the other hand, if the vehicle was hired solely to move the records as part of this project, then its maintenance, rental and fuel would all be direct variable costs.

Some of the variable costs will not vary in direct proportion to the level of activity. These are sometimes called semi-variable costs. An example is labour. It is not practical to have fractions of people, so what tends to happen is that when a level of activity reaches a certain limit, it becomes necessary to take on another whole person, with all the inherent costs. This causes a stepped effect, rather than a smooth increase in proportion to the level of activity.

Capital and Running Costs

A further distinction that should be made in costing is between capital costs, which are one-off payments for capital projects (such as buildings, equipment), and running costs, which are the on-going costs of the organisation (such as salaries, services, supplies). There is no point in undertaking capital expenditure on a project if adequate running costs for subsequent operations are not going to be available.

Activity 16

Read through the information above carefully and then complete this activity in relation to the following terms:

fixed costs variable costs direct costs indirect costs capital costs running costs

For each of the terms used above, write a brief definition of each term and then a description of how the term is used in your organisation, with a specific example. This process will help you understand the terminology and how it may be applied in your organisation.

Costing a Service

In some areas of records and archives work, a charge may be made for the provision of a service. For example, customers may be charged for photocopies of documents in the National Archives, or operational units of an agency may be recharged for the cost of storing files. Increasingly, the public sector is being asked to cost its services, even where a charge is not levied on customers.

The government may want to know how much it costs to keep a document in the National Archives, or how much it costs to retrieve a pensions file from the Records Centre. To arrive at such a cost the direct and indirect costs will need to be added together.

Direct costs that might need to be taken into account include

- materials
- direct labour costs involved in the provision of the service
- any production costs, such as consumables (such as photocopying paper).

Indirect costs would include

- overheads
- administrative effort involved in managing the activity
- building repairs

• depreciation on equipment.

A proportion of these indirect costs should be applied to the provision of the service and added to the direct costs to arrive at the costs of the service.

Overheads

As mentioned earlier, overheads, are a major component of indirect costs. The major areas included within overheads are

- stationery, management and supervisory salaries, clerical, cleaners' and caretaker's wages
- rent (or the equivalent cost of maintaining a building that is government owned) and property taxes
- telephone and fax
- travelling costs
- motor expenses
- insurance and banking charges
- depreciation, security, accountancy, audit and legal fees.

The costs of many of these overheads can be deduced from previous years' expenditures. There may also be specific guidance on how to calculate and apply these costs within the public service within a particular country.

Capital Expenditure

From time to time, it will be necessary to budget for the purchase of significant capital items such as new equipment or an extension to a building. Many of the same principles will apply in budgeting for other activities. However, capital projects tend to be much more expensive, and a critical factor in budgeting successfully for them will be the ability to forecast when expenditure will fall so as to ensure that the funds are available to meet bills.

In managing capital projects, timing is the single most important factor.

Planning and managing projects are dealt with in more detail in Strategic Planning for Records and Archives Systems.

Imports

When equipment can be made and supplied locally, costs will be easy to ascertain and should be relatively low. However, there may be some items of equipment that can only be acquired as imports. When this is so, care should be taken to ascertain the following.

- In what currency are costs quoted and what is the appropriate exchange rate?
- Is the quoted price net or gross of any local agent's commission?
- What is the likely additional cost of freight and delivery charges?
- Are there additional charges for assembly and installation?
- Are any duties or taxes due to be paid and if so, how much will they be?

Inflation

When a project spans more than one year (in some cases even within a year), it may be necessary to take into account the likely impact of inflation. This may involve making assumptions on future inflation and applying indices in order to increase the figures by a certain level to take account of that inflation. Guidance on how to do this will exist within each country's own system.

However, it is important to remember that inflation does not affect all types of expenditure in the same way. Labour costs and material costs, for example, may increase at different levels. Some types of expenditure, such as imported office technology, may be particularly susceptible to high levels of inflation (as reflected in variations in the rate of exchange). If the indices the government applies to costs are unlikely to reflect the level of inflation on such purchases, then clearly it will be necessary to plan to make these purchases early in the project.

As with all other aspects of budgeting, success in dealing with inflation will depend upon managing costs over time.

PROCUREMENT

Procurement is the process by which agencies in the public sector enter into commitments to purchase supplies or services.

There are likely to be separate arrangements for low-value purchases such as small amounts of consumables. Such purchases are usually effected through requisitions authorised by an officer with delegated power to commit funds for the required purpose.

Requisition: A document completed by the demanding officer, specifying the goods or services required and, when duly authorised, serving as an order to the provider of those goods or services.

This section concentrates on the purchasing arrangements for more costly items.

Where a significant amount of public funds is involved, it is usual for the provision of supplies or services to be subject to tender action. This will usually be a competitive tender exercise involving the procurement authority approaching a number of suppliers. When the ability of suppliers to meet the requirement is unknown, this exercise may be preceded by enquiry letters.

Invitation to tender: A formal document setting out the requirements for the supply of a product or service together with its conditions of purchase.

Tender: An offer by a potential supplier to supply a specified product or service at a specified cost.

The purpose of enquiry letters is to enable demanding officers (that is, officers making the purchase) to make realistic comparisons of prices, specifications, performance and availability of supply at an early stage in a project. It also allows them to identify any likely contractual difficulties. This formal action is often preferable to independent enquiries as it is likely to provide a more reliable guide to the results of subsequent formal tender action and to save time. It also provides a safeguard to the demanding officer.

It will usually be the demanding officer's responsibility to identify – perhaps from these initial enquiries, or, if the field of suppliers is well known, from personal experience – a list of firms to be invited to make competitive tenders. The demanding officer must be prepared to accept a suitable tender from any of the firms selected.

Single tender action involves inviting only a single firm to tender. If this is proposed, a special case will usually need to be made. That case may relate to such reasons as

- limited availability of the required goods or services
- geographical location where competition is not available
- the need to ensure compatibility with existing equipment or to maintain standards of materials
- the cost of tendering is not justified by the value of the purchase.

The Tender Process

The starting point is the specification prepared by the demanding officer. Wherever possible, this should include a specified level of performance or quality required. Unless there are strong grounds for doing so, the demanding officer must be careful not to write a specification that fits only one particular manufacturer's range of products. However, a specification should be precise and unambiguous. Tenderers may be given the opportunity to propose alternative

solutions to meet the specification. The demanding officer is responsible for the accuracy of the specification.

A realistic delivery date should be given and the demanding officer should consider how the goods or services are to be assessed for their acceptability. Tests may need to be specified in the invitation to tender. For competitive tendering, a minimum of three suppliers is normally needed.

It is in no one's interest for the list of potential suppliers to be excessively long.

Evaluation of Tenders

On return, tenders will be passed to the demanding officer for technical evaluation while the procurement authority will consider any proposals for variation of contractual conditions. Normally the lowest tender that is acceptable on technical and contractual grounds should be chosen. Once the contractor has been selected, a contract will be issued for the supply of the goods or service.

Contract: An agreement entered into between two parties generally for one to receive payment in exchange for the supply to the other of goods or services. It is intended to be, and is, legally binding.

Running contract: A contract that provides for the supply over a period of time of goods or services that are called upon as and when required by means of warrants. Such contracts are used especially for maintenance and minor works and stationery supplies.

Activity 17

Explain the process of procurement and tendering used in your organisation. Are there variations depending on the type of product in question or the anticipated cost?

SPREADSHEETS

The most common financial management tool is the spreadsheet, increasingly held on a personal computer. In 1990, the spreadsheet market was dominated by a product called 'Lotus 1-2-3'. However since then there has been a huge upsurge in products that run under Microsoft

Windows. By 1995, one of the principal spreadsheet programmes running under Windows was 'Excel' by Microsoft, but DOS-based programmes such as Lotus 1-2-3 still continue to sell in large numbers, as do many others.

A spreadsheet is basically a sheet of accountant's graph paper, preprinted with rows and columns. Spreadsheet software replicates this format within the computer in the form of a huge electronic page: typically there can be up to 256 columns and 16,384 rows. (The computer screen is in fact a window that allows access to only a small part of that large sheet.)

The major advantage of spreadsheet software is that once a spreadsheet has been set up, it becomes automatic so that when a change is made, all the corresponding figures are automatically adjusted. Basically, the software obviates large amounts of calculating and recalculating, with the attendant danger of error.

Before using a spreadsheet it must be clear what needs to be achieved. There are many advantages to using a spreadsheet programme, including

- speed
- the removal of tedious mathematical calculations and the inherent possibilities of mistakes
- easy modification of a budget
- the capacity to run a series of options and 'what if' scenarios to see quickly what the effect of a range of different actions would be.

There are, however, important disadvantages to using spreadsheet programmes.

- There will not be the same deep involvement in the mechanics of preparing the forecast, so errors of judgement can be made more easily.
- There may be mistakes in the formulas that run behind the spreadsheet or in the entry of any particular piece of data.
- There is a need to acquire a working knowledge of the spreadsheet software in order to programme the model.
- The fact that the figures are printed out by the computer in a neat and presentable form can lead to a false sense of security: because it looks good it must be right!

The use of computers in preparing budgets and cash flows is to be recommended, provided these tools are used with a degree of caution. Unless the manager knows what he or she is trying to accomplish and how to undertake that task manually, he or she will not be able to arrive at the right result using a computer. If the manager does know what he or she is doing, then the use of spreadsheet programme can save a lot of time and allow experimentation with a number of different scenarios.

Petty Cash Reconciliation

Date: 15/09/99 As at previous rec. 20/07/99 A. 516.21 cash balance difference 0.00 500.00 cash deposit 09/09/99 cash deposit 500.00 14/09/99 total 1,516.21 B. As at current rec. 791.68 cash 100/7130 50.00 100/7720 21.52 100/7750 6.48 100/7780 69.88 100/7800 10.50 106/5900 3.00 121/5560 85.00 74.96 144/5780 145/5750 12.99 148/5560 31.00 149/5500 15.00 168/5560 100.00 171/5560 50.00 172/5560 50.00 175/5560 50.00 4.20 183/5750 194/5560 35.00 55.00 196/5560 total 1,516.21 Difference C. A total 1,516.21 B total 1,516.21

difference

Figure 6: Sample Spreadsheet

0.00

A VIEW TO THE FUTURE

There is a growing move to privatisation of formerly public sector activities, a trend that financial managers need to remember when planning budgets.

Increasingly, governments are asking themselves whether activities that were once considered core public service tasks need to be done by the public sector. More work is moving from the public to the private sector, either en masse or in parts. Increasingly, a manager may need to consider alternative ways of carrying out his or her remit or even whether a particular activity is necessary. He or she will have to ask such questions as

- Are there areas of the work that might be contracted out to the private sector?
- Are there areas of work that should remain within the public sector but that might be handled at 'arms length' from government (such as by an 'executive agency')?
- Are there areas of work that might be abandoned because another body could provide that service more cheaply?
- Are there more cost-effective ways of performing a service?

Increasingly, public service managers need to be aware of the private sector and be ready to meet its challenges. Key questions will include

- What is the core activity of the agency or the unit concerned?
- What parts could be contracted out to other organisations without threatening that core activity?
- What are the real costs involved in various aspects of the activities of the agency or unit?

SUMMARY

Lesson 3 has discussed the theory and practice of achieving effective and efficient financial management under the following headings.

Where Money Comes From

- Public funds are planned and controlled through the strategic plan of an agency.
- Agencies will not have total financial autonomy.
- Public funds are applied only to the purposes intended by government; control and auditing processes must be in place.
- Detailed estimates of expenditure will be prepared for the next financial year.
- Timing will depend upon the financial period used in the country.

Budgeting

- Budgeting is about forecasting the future expenditure needed to achieve the aims of an agency or project.
- It is necessary to obtain current and accurate information. Do not be too optimistic in planning and estimating; examine the outcomes of earlier budgets; and allow for some contingency.

Costing

- Costs can be divided into fixed and variable costs: fixed costs do not vary with the level of activity; variable costs increase with higher levels of activity.
- To cost a project, on the provision of a service, costs need to be divided into direct and indirect costs. A proportion of the indirect costs should be applied to the project or service.
- Overheads such as rent, telephone and travel costs are a major component of indirect costs.
- The purchase of capital items, which tend to be more expensive, must be carefully forecast to ensure funds are available when payment is due.
- When a project spans more than one year, the possibility of increased costs (inflation) must be taken into account in the forecasting process.

Procurement

- A precise specification of the goods or services, including the level of performance or quality required, must be prepared.
- A minimum of three suppliers is usually needed for competitive tendering.
- Normally the lowest priced tender that meets technical and contractual requirements is chosen.

A View to the Future

- It may be necessary to consider whether the agency, or parts of it, can move to the private sector.
- It may be necessary to identify services presently provided in house that might be provided from outside sources at lower cost.

STUDY QUESTIONS

- 1. Explain the three financial functions performed by the responsible ministries and agencies within most governments.
- 2. Explain the role of the accounting officer.
- 3. Explain five principles that relate to any financial transactions or proposals.
- 4. Define estimates.
- 5. What is a budget?
- 6. Explain five steps involved with developing and deciding upon a budget.
- 7. Define the following terms:

 fixed costs

 variable costs

 direct costs

 indirect costs

 capital costs
- 8. Identify three direct costs that should be considered when costing a service.
- 9. Identify three indirect costs that should be considered when costing a service.
- 10. Define overheads.

running costs.

- 11. Identify five costs that might be considered overheads.
- 12. What five issues should be considered when considering importing equipment or supplies?
- 13. Define a requisition.
- 14. What is an invitation to tender?
- 15. What is a contract?

- 16. What is the difference between a contract and a running contract?
- 17. What is a spreadsheet?
- 18. Identify three advantages and three disadvantages to using electronic spreadsheet programmes.
- 19. Name four issues that public service managers will have to consider when planning financial management in the future.

ACTIVITIES: COMMENTS

Activities 12-17

Again, each of these activities is intended to help you compare the information provided in this lesson with the actual methods used in your own organisation. These activities are also designed to help you understand general financial principles and issues and to see how these are applied within your organisation.

There are no 'right' or 'wrong' answers, and you may not be in a position to investigate many of these issues in depth or offer detailed suggestions for change. But you should take advantage of these activities to learn as much as possible.

LESSON 4

MANAGING PHYSICAL RESOURCES

Lesson 4 is concerned with the management of physical resources – that is, materials – the third element of the resources equation. Physical resources are the tools needed to do the job. Without the proper tools, a records and archives service cannot do a proper job.

Accordingly, this lesson will provide an introduction for managers in the records and archives field to the procurement and management of

- accommodation
- equipment
- services
- supplies.

ACCOMMODATION

Records and archives are bulky; a considerable amount of space is required for their storage and handling. They also have their own particular physical characteristics that require the provision of special conditions within that storage and handling space.

For practical purposes, it is helpful to divide the accommodation required by records and archives services into two categories:

- 1. special accommodation, such as records centres and archival repositories
- 2. office accommodation, such as agency records offices.

Constructing a new records centre or archival repository or adapting an existing building for those purposes, or even establishing a new records office within an agency, is a major project and requires careful planning. Some of the particular issues relevant to accommodation for records and archives are discussed below.

Project planning is discussed in more detail in Strategic Planning for Records and Archives Services.

After staff costs, accommodation is likely to be the most expensive item in the budget of a records and archives organisation. Even when buildings or land are government owned, there is still a cost in real terms even if there is no recharge to the organisation. If the land or

premises were not used for those purposes, they might be used for some other purpose or even leased or sold into the private sector.

Furthermore, the capital cost or value of purchasing land and constructing a building, or of renting one, is not the only cost that has to be considered. There are also the ongoing running costs of the building, such as maintenance and services.

Special Accommodation

Archival Repositories

Archival repository: A building or part of a building in which archives are preserved and made available for consultation. Also known as an archives.

Archival repositories need to be secure and environmentally controlled facilities for the preservation and consultation of archives. This requires a high standard of construction and fitting out and is, therefore, likely to be more costly to construct and operate than standard office accommodation.

While an archival repository should be primarily functional, nevertheless the National Archives is an important national institution and should have an impressive external appearance, including attractive and well maintained grounds.

The accommodation requirements of an archival repository are discussed in more detail in Managing Archives and Preserving Records.

Records Centres

Records centre: A building or part of a building designed or adapted for the low-cost storage, maintenance and communication of semi-current records pending their ultimate disposal.

Records centres require less stringent environmental controls than archival repositories and a less exacting standard of finish than office accommodation, although they still need to provide high levels of security. Hence, the construction and operating costs of a records centre will be less than those of an archival repository and should be less than those of office accommodation.

The accommodation requirements of a records centre are discussed in more detail in Managing Records in a Records Centre.

Office Accommodation

Office accommodation is an important element of any records management programme. Records offices, in which current records are received, registered, filed and circulated, and file stores, in which they are maintained, are integral parts of the office accommodation of an agency. The objectives of the agency records manager are to obtain adequate and suitable accommodation for records purposes and to use that accommodation economically and effectively.

Space is an expensive commodity and must be utilised to its full capacity. It is also something that is not usually flexible. Records managers must therefore plan both office layout and work flow procedures so that the greatest use can be made of the allotted space.

Accommodation space requirements are usually based on the following factors:

- number of staff
- volume of the records
- nature of the work (such as adequate sorting areas)
- type of equipment used (such as filing cabinets, modular shelving units, mechanised filing equipment)
- the need for administrative office space.

Records work is rarely allotted more space than is necessary, so the justification for space requirements should be based upon forecast growth as well as current levels and types of use.

The accommodation requirements of an agency records office are discussed in more detail in Organising and Controlling Records.

Space Planning

A major factor in the effective and economical use of accommodation for records and archives work at all stages of the life cycle is careful planning of the use of the available space. This involves

- organising physical elements, such as furniture and records storage and other equipment, within the allotted floor space to provide maximum efficiency in the use of that space
- attempting to present a reasonably attractive and desirable work space for staff
- planning for an efficient work flow
- facilitating supervision.

In records and archives work at all stages of the life cycle the records or archive will occupy more space than staff and users. The two most important factors in space planning are

- 1. the type and nature of the records and archives
- 2. the quantity and flexibility of the records or archives storage equipment.

Planning accommodation for records and archives must take into consideration their preservation and security requirements. These include

- protection again the elements of nature, such as natural disasters or normal adverse climatic conditions
- protection against unauthorised access, theft or accidental damage or loss.

Records and archives require special facilities for storage, preservation and security.

Records and archives that have special security or privacy requirements must receive adequate protection to safeguard their contents. This can be achieved by placing them in a secure location or providing secure records storage equipment.

The nature of the records and archives themselves may also affect space planning considerations. The media of the records or archives, the frequency of use, the number of people accessing and handling them all influence on how accommodation should be planned. Electronic and audiovisual media, such as magnetic disks and tapes, require special environmental controls in order to maintain them properly against damage or loss of information.

The type of records or archives storage equipment used also affects space planning. Records and archives are heavy. Hence, the weight capacity or floor loading of the accommodation should always be specified in any new building and assessed when occupying an existing one. In an office environment, filing cabinets are easier to move around and are not as heavy as high-density records storage equipment, resulting in a smaller load stress on the floor. On the other hand, high-density storage equipment is the most cost-effective means of storing records if the floor loading will permit it.

There are two other important considerations in the allocation of floor space for records and archives storage equipment: aisle space and air space.

When calculating floor space requirements for equipment, it is important to include the aisle space requirements: that is, the amount of space required between storage equipment or between rows of shelving to permit safe and easy access for the retrieval of the records or archives.

Air space is the space between the top of the equipment and the ceiling. This should be adequate to ensure a good circulation of air but not so great that space is wasted. If there is a large space above the top of the equipment, it may be used for additional records storage equipment. However, health and safety factors must be taken into consideration. Equipment that is stacked too high without proper support or re-enforcement or without the appropriate access tools, such as step ladders or step stools, may be hazardous to staff and to the records or archives. In general, the insertion of a mezzanine floor makes for easier and safer operation than high shelving.

Filing cabinets should never be double-stacked.

Layout

The layout of records offices, records centres and archival repositories should follow the channels of the work flow so that movement and transmission distance between work areas is at a minimum. Managers should review work procedures periodically, keeping in mind that major changes to work procedures or responsibilities may have to be reflected in the office layout.

The layout of any office should follow the channels of work flow.

Some general guidelines on the layout of accommodation include the following.

- Heavy traffic routes should not be obstructed by storage or other equipment.
- Discrete areas of work should be clearly segregated from each other (such as the storage and consultation areas in an archival repository).
- Within each discrete work area a single, large space permits better lighting, ventilation, supervision and communication than a series of separate spaces.
- Supervisors of staff or users must be able to observe the work area clearly, but where possible, also have private work space.
- Dominant work flows should be identified and given the highest level of priority.
- Unnecessary circulation or repeated work flow of records or archives and unnecessary movement of staff or users should be avoided.
- Where staff have specific responsibility for certain records or archives, these should be located as closely as conveniently possible.
- Work stations should not be positioned facing a window; natural light should come from the rear of an individual to reduce glare and eyestrain.
- Noisy equipment, such as a photocopier, might be placed in a soundproofed room or area to reduce the noise level.
- There should be sufficient numbers of electrical outlets for any electrical equipment; the use of extension leads to reach electrical outlets should be avoided.
- Mechanised or electrical equipment should be placed so that maintenance personnel can safely access the equipment without having to disrupt the normal working operations.

Activity 18

Imagine you are responsible for assessing the quality of your organisation's accommodation, with a view to possible changes in future. Based on the information provided above, develop a 'wish list' of at least fifteen elements or qualities you would include in a new or revised facility. For each element, explain why you felt it was needed.

Once you have completed your list, imagine you have been told you can only have some of the elements, not all, but you do not know how many. Prioritise your list, from most important to least important, and for each element indicate whether it would be 'very expensive,' somewhat expensive,' or 'inexpensive.'

If you could only make five changes or additions, which would you choose and why?

If you would only make one change or addition, which would you choose and why?

EQUIPMENT

In the context of records and archives work, the manager is likely to be faced with the need to procure and maintain various kinds of equipment, including

- records and archives storage equipment (such as filing cabinets, shelving systems)
- conservation equipment (such as tools, presses)
- reprographic equipment (such as microform cameras and readers)
- information technology systems (such as hardware and software)
- transport (such as cars, vans)
- office equipment (such as typewriters, copiers).

Irrespective of the kind of equipment involved, it is necessary to ask a number of questions before embarking on the procurement process.

- Is the item of equipment suitable and appropriate for its intended purpose?
- Is it readily available in the country?
- Will it be compatible with existing equipment (this is crucial in the case of IT equipment)?
- Is there adequate budgetary provision for its purchase and running costs?
- Would it be cheaper to rent when and as required than to buy?
- Are staff available who can be readily trained to use it?
- Are there local arrangements for maintenance and the supply of spare parts?
- Are the materials that it uses readily available?

The procurement process was discussed in more detail in Lesson 3.

Purchasing new equipment can be a major project and requires careful planning. Some of the particular issues relevant to equipment for use in the management of records and archives are discussed below.

Project planning generally is discussed in more detail in Strategic Planning for Records and Archives Services.

Maintenance

Equipment should always be kept in good working order. Maintenance support (emergency repairs and regular servicing) should always be assured before expensive equipment is purchased. In some cases, this maintenance can be carried out on a day-to-day basis by operating staff, but for more sophisticated equipment (such as information technology equipment) maintenance should be carried out by experts. Where experts are not readily available within government, contracts for external maintenance should be let to the private sector.

The organisation should maintain a stock of spare parts for any equipment in regular use.

Safeguarding Equipment

The need to safeguard equipment is recognised as an important element of any security management system. As technology advances become an integral part of the records and archives management function, procedures for reducing the risk of theft and unauthorised access must be developed.

Some of the measures that can be undertaken to safeguard equipment include

- maintaining an inventory of all equipment, including the date of purchase, the serial numbers, the cost and the location of each piece of equipment
- tagging all equipment with identification or inventory numbers
- supervising and monitoring equipment during breaks, lunch times and when employees are working late
- affixing or attaching equipment securely to desks or tables or, if equipment is portable, ensuring that equipment is placed in locked storage when not in use
- ensuring that regular visual checks and periodic inventory verifications are maintained.

Selecting Storage Equipment

Storage equipment is used to house records and archives in a safe and secure manner, while facilitating ease of retrieval for reference purposes. In selecting suitable equipment, a number of factors need to be taken into consideration:

- security
- current and forecast volume and nature of the records or archives to be stored
- current and forecast volume and nature of use
- speed of retrieval required
- cost
- space requirements.

These considerations may sometimes be mutually contradictory. An appropriate balance will have to be struck. This balance may differ depending on the nature of the purpose: for example, in a records office or records centre speed of retrieval may be the prime consideration, while in an archival repository it is more likely to be security and preservation.

A range of records storage equipment is available and should be chosen based on the requirements of the organisation.

Types of Records Storage Equipment

There is a multitude of records storage systems available, and selecting a particular system should not be made prior to identifying and analysing the requirements of the organisation in the light of the considerations set out above. In general terms the choice is between manual and mechanised systems, but within each category there are a number of options.

MANUAL STORAGE SYSTEMS

In manual storage systems, persons accessing or retrieving the records or archives have to walk to the storage equipment and hand select the records or archives required. Manual storage equipment is popular because of its relatively low capital and running costs and its ease of use.

The main varieties of manual storage equipment are as follows.

Standard vertical file-drawer cabinets in which file access is from the top (or vertical hence the name). Drawers must be opened in order to gain access to the file folders stored within, which may slow down access and retrieval time. This type of filing cabinet is relatively easy to move, but the volume of records that can be stored is relatively low. It is suitable for records with a low access/use rate in an office environment. It is not recommended for records requiring multiple user access or high volume access/use rates.

Lateral file-drawer cabinets, also known as side-open or open-sided filing cabinets because the drawers are opened broadside and accessed from the side or laterally. This type of filing cabinet permits relatively quick and easy access to the records, because all the contents of a

drawer are visible when is opened. It is also space efficient because its drawers project only about six inches into the working aisle as against the full length (approximately 28 inches) of the drawer of a vertical filing cabinet. They are suitable for records with a high access/use rate in a records office.

Open-shelving systems store records or archives on open, horizontal shelves similar to a bookcase. The major advantages of this type of records storage equipment include faster access and retrieval times because open-shelving units do not have doors or drawers and economy of space because there are no drawers to open and because open-shelving can be stacked higher than filing cabinets and still be easily accessed. This type of records storage equipment is usually recommended for file stores, records centres and archival repositories, where the secure storage area itself provides protection against unauthorised access.

MECHANISED STORAGE SYSTEMS

This type of records storage equipment uses mechanised devices, which may be hand driven or motorised, to store the records. This type of records storage equipment is often referred to as high-density records storage equipment as it usually saves space and may reduce retrieval and access time. The records or archives stored within this type of storage equipment are still manually placed on and retrieved from the shelf.

The main varieties of mechanised storage equipment are

Mobile shelving, also referred to as 'mobile aisle shelving' or 'compact' shelving, moves on tracks that are installed in the floor. Each bank of shelving has space for only one aisle, but the location of this space changes as the rows are moved. This movement can be driven by hand or by an electric motor. Mobile shelving is space efficient as it eliminates the unproductive space that is required for aisles in fixed-shelf systems. On the other hand it is more costly, requires regular maintenance and is not as suitable for multiple user access.

Rotary file or multi-tiered records storage systems are based upon a ferris wheel approach with shelves or trays attached to a centre post or wheel that is turned for access to the records. This rotation can be driven by hand or by an electric motor. This type of records storage equipment is usually used to store index cards and microforms.

Power carousel or horizontal conveyor systems use the same principle as the rotary file, but based on a carousel rather than a ferris wheel. This system gives increased storage capacity and increased efficiency in the storage of records in a limited space and allows for a reasonably fast access and retrieval time, but is not the best storage solution for multiple users or high access rates.

Preservation and Conservation Equipment

The preservation of records and archives at all stages of their life cycle requires the practice of good housekeeping in storage areas. Hence, there is a need for cleaning equipment. Locally produced manual cleaning equipment will usually do the job, but an industrial vacuum cleaner will do it more efficiently.

Most National Archives will aspire to a conservation workshop, but except in the most advanced conservation workshop it is unlikely that the equipment required initially will

extend beyond the benches, tools, racks and presses needed to perform basic hand repair. The purchase of more advanced equipment, such as leaf-casting or encapsulating machines, should be embarked upon only after taking professional advice and weighing up all the considerations set out at the beginning of this section on equipment.

The equipment need for preservation and conservation purposes is discussed in more detail in Preserving Records.

Reprographic Equipment

All records offices, records centres and archival repositories need some reprographic equipment, even if it is no more than an office copier and a microform reader or reader-printer.

Most National Archives will aspire to more extensive reprographic facilities, involving the production of microforms. This requires the procurement of a range of microform cameras, processors, duplicators and readers. The purchase of such equipment should be embarked upon only after taking professional advice and weighing up all the considerations set out at the beginning of this section on equipment.

Reprography is discussed in more detail in Preserving Records.

Information Technology Systems

Information technology (IT) can make information more easily accessible, complete transactions more quickly and accurately, support employees and reduce costs. Computers and other elements of information technology are now an integral part of our lives and are becoming increasingly common in the work place.

IT systems consist of

- hardware (computers, display screens, printers, modems)
- software (the programmes that operate the system)
- data (the information managed by the system).

For the purposes of this lesson, it is assumed that hardware and software will have to be procured and that the data will be generated by the organisation itself.

The decision to use information technology should be based on a strong business-case approach based upon the organisation's circumstances, needs and priorities. It is not enough simply to computerise an existing manual system; computerising chaos will only lead to computerised chaos. Procuring a new IT system should be subjected to a careful project planning process driven by the needs of the organisation rather than current working practices.

Procuring a new IT system should be treated as a major innovation.

Project planning generally is discussed in more detail in Strategic Planning for Records and Archives Services.

It is not necessary for the manager to be intimately familiar with IT and all its implications, but he or she does need to work with a technical IT systems expert and should be aware of some of the factors that must be carefully identified and analysed before to acquiring an IT system. These factors include

- hardware and software compatibility with existing hardware and software in use within the records and archives system and, in the case of records offices, within the agency
- the operational requirements (such as storage and memory capacity; whether batch processing or on-demand processing will be the norm)
- the existence of a regular and consistent power source (including backup)
- the availability of adequate and appropriate accommodation to house the hardware
- servicing aspects, including regular maintenance and timely repair of hardware and trouble-shooting of software
- the potential of a multi-user environment through local area networks (LAN) and wide area networks (WAN)
- the need for the computer technology to interface with other technology, either currently in place or anticipated for future acquisition.

The requirements for information technology systems for use in records and archives work are discussed in more detail in Automating Records Services.

Transport

Records and archives services need to move people, records and equipment from time to time. Hence, it is necessary to make provision for access to motor vehicles. Cars will be necessary for records and archives staff who need to travel in the course of their duties; vans will be needed to transport smaller quantities of records and archives or smaller items of equipment; trucks will be needed to transport larger quantities of records or heavy items of equipment.

There are three ways of satisfying this requirement:

- 1. calling on an agency or government transport pool
- 2. hiring (with a driver or self-drive) when required
- 3. purchase.

In practice a combination of all these is likely to be used. For example, a multipurpose vehicle might be purchased for the regular transport of personnel, records and equipment. Taxis or minibuses might be hired for occasional personnel journeys, and trucks might be hired or the transport pool used for occasional large-scale records moves.

Office Equipment

In addition to the types of specialist equipment that have already been discussed, there are additional equipment needs common to any office. These include such items as

- furniture, including desks, tables and cupboards
- paper punches or drills
- staplers (hand or electric)
- scissors and paper cutters
- typewriters (though these are being superseded by word-processing systems on computers)
- office copiers
- step stools or short step ladders.

Activity 19

This exercise is the same as the last activity, only focusing on equipment instead of physical facilities.

Imagine you are responsible for assessing the quality of your organisation's equipment, with a view to possible changes in future. Based on the information provided above, develop a 'wish list' of at least fifteen items of equipment you would add to your organisation. For each element, explain why you felt it was needed.

Then, once you have completed your list, again prioritise it, from most important to least important, and for each item of equipment indicate whether it would be 'very expensive,' somewhat expensive,' or 'inexpensive.'

If you could only select five items, which would you choose and why?

If you would only select one item, which would you choose and why?

SERVICES

Services that are likely to be called upon by records and archives services include

- electricity supplies
- water supplies
- communications (mail, telephone, fax, internet).

In all these areas it is likely that there will be only one supplier (usually a government or parastatal body). The manager may have no option but to obtain supply from that service provider. Nevertheless, certain operations are heavily dependent upon a constant supply of electricity (such as IT services) or water (such as reprographic services) of a prescribed quality. If that quality of service cannot be guaranteed, then procuring the equipment may not be worthwhile.

In addition, it may be government policy to use private sector services (such as cleaning, catering, building maintenance or payroll) where they are cheaper and more efficient than in-house provision. In these areas there may be a wider range of choice.

Entering into a new contract for the provision of a service should be subjected to a careful project planning process.

Project planning generally is discussed in more detail in Strategic Planning for Records and Archives Services.

In considering a contract for a service, it is necessary to determine not only the cost but also the conditions laid down for delivery on the part of the contractor. There should be the ability to terminate the contract early if the prescribed conditions are not met.

Activity 20

What services are used by your organisation at present? Are the services provided by the government or are they contracted to the private sector?

SUPPLIES

All areas of records and archives work need materials for their continuing effectiveness, from paper and file covers to microfilm and diskettes. It is necessary to budget for adequate supplies to maintain appropriate stock levels. Optimum levels of supplies will vary with the materials, the rate of use, ease of replenishment and, in some case, shelf life. Where materials have to be obtained from outside the country, it may be useful to budget on the

basis of an initial purchase of two years' supply and then to maintain stocks, in the light of operational experience, on the basis of one year's supply annually.

It is important that materials should be used efficiently. This requires the introduction of a sound stock control system to ensure that

- materials are properly and securely stored
- older stocks are used first
- materials are issued only as required and in economical quantities
- materials are not subject to misuse or pilfering
- stocks are replenished in good time as they begin to run out.

Activity 21

Without asking anyone in your organisation or checking any supply areas, write a list of all the supplies you can think of that your organisation uses. Again without checking with anyone, estimate how much of each supply is used each month by the staff within your organisation.

Once you have completed your list and estimate, review the list with someone in charge of supplies and determine how accurate your estimates were.

SUMMARY

Lesson 4 has introduced managers in the records and archives field to the procurement and management of

- accommodation
- equipment
- services
- supplies.

It has stressed the importance of careful space planning as a major factor in the effective and economical use of accommodation for records and archives work at all stages of the life cycle. It has also stressed the good design of records offices, records centres and archival repositories to follow the channels of the work flow, keeping movement and transmission distance between work areas to a minimum.

The lesson has also considered the questions to be asked before embarking on the procurement of

- records and archives storage equipment
- conservation equipment
- reprographic equipment
- information technology systems
- transport
- office equipment.

It has also drawn attention to the types of services that are likely to be called upon by records and archives services, including electricity supplies, water supplies and communications services. It has also considered some services provided by the private sector, such as cleaning, catering, building maintenance and payroll. The lesson has also stressed the importance of

- budgeting for adequate supplies of materials to maintain the stock levels necessary to continue to operate equipment and maintain services
- developing a sound stock control system.

STUDY QUESTIONS

- 1. Explain the difference between special accommodation and office accommodation.
- 2. Explain at least five factors to consider when determining accommodation space requirements.
- 3. Name four issues to consider when planning the use of space.
- 4. What two records and archives issues must be considered when planning space for records work?
- 5. Explain at least eight guidelines to consider when planning the layout of records offices, records centres and archival repositories.
- 6. What types of equipment are particularly important for records and archives work?
- 7. Name at least six questions to ask about equipment before embarking on the procurement process.
- 8. Explain four measures that can be taken to safeguard equipment.
- 9. Name at least five factors to consider when selecting storage equipment.
- 10. Describe three types of manual storage systems.
- 11. Describe three types of mechanised storage systems.
- 12. What are information technology systems?
- 13. What issues should be considered when acquiring and IT system?
- 14. Explain three ways to provide transport within the organisation.
- 15. What types of office equipment will be needed by any organisation?
- 16. What types of services might an organisation rely on?
- 17. In order to maintain good stocks of supplies, what five actions should be taken?

ACTIVITIES: COMMENTS

Activities 18-21

Again, these activities allow you to compare your own ideas and impressions with the information provided in this module. These activities allow you to imagine you are in a management position, able to make a range of decisions. Depending on your actual position within the organisation, you will find you have a greater or lesser knowledge of some of the issues involved. For example, you may not know all of the accommodation, equipment or services used by or needed by the organisation. You may not be aware of all the supplies used and by whom. You may find that you greatly over- or underestimated the physical resources of your organisation! The value of these exercises is that you will begin to see the complex work involved with managing physical resources. If possible, discuss your answers to these activities with someone responsible for physical resources management in your organisation, so that you can compare your ideas with the situation in your institution.

LESSON 5

WHAT TO DO NEXT?

Managing Resources for Records and Archives Services has concentrated on equipping managers with the additional knowledge and skills needed to identify, secure and deploy the resources necessary to provide essential records and archives services.

In particular it has dealt with the principles and practices of managing

- human resources
- financial resources
- physical resources.

ESTABLISHING PRIORITIES FOR ACTION

This module has introduced the principles and practices of managing resources for public sector records and archives systems and services. But which tasks should you undertake first? Which are high priority and which are low? Each institution will make different decisions based on its present state of development and its needs and short- and long-term plans. However, it is possible to offer some recommendations for action, to help the institution develop the management systems appropriate to its own situation. Complete the following activity then consider the suggestions below.

Activity 22

Before proceeding with this lesson, consider the situation in your institution. Based on your own experience working through this module and within your organisation, what priorities would you establish for resource management? Identify at least three priorities and explain why you think those are important to your organisation.

Priority 1: Identify Current Practices

The first priority might be to identify current practices and procedures for recruiting and retaining records and archives staff. This is largely a process of identifying the practice is within your institution in relation to

- human resources planning
- the financial and grading processes involved
- the range of options for obtaining staff resources
- retention and maintenance of staff through schemes of service, industrial relations, health and safety, equal opportunities and communications.

Priority 2: Evaluate Institutional Practices

The next priority might be to evaluate institutional practices for developing staff potential; this will involve assessing how far your organisation

- develops staff through good employer-employee practices, such as training, team building and succession planning
- makes the best use of staff by investing in people through performance measurement and a range of other measures designed to help staff achieve more.

Priority 3: Draw Up a Financial Plan

The next step might be to develop a financial plan for a specific project to help your institution achieve one of its key objectives. This work might involve

- defining what funding will be needed and when
- identifying where to obtain those resources
- establishing systems to monitor how they are used.

Priority 4: Establish Physical Resources

The next priority might be to establish the physical resources necessary to complete the plan satisfactorily. This will involve the procurement of and the development of systems to manage

- accommodation
- equipment
- services
- supplies.

GETTING HELP

Many institutions, particularly in countries with limited resources, do not have ready access to information about resource management. However, there are places you can go to get more information or to obtain assistance.

See the Additional Resources document for information on other organisations and associations involved with records and archives management generally.

National Organisations

In each country there are likely to be the following national organisations that can give advice on various aspects of resource management.

Ministries responsible for the civil service, finance, public works, information technology and so on

for local practices in respect of resource management.

National Institute of Public Administration

for training, advice and literature on resource management issues.

International and National Organisations

Following are names and addresses of agencies that could be contacted for assistance.

Canadian Institute of Chartered Accountants (CICA)

277 Wellington Street West Toronto, Ontario M5V 3H2, Canada

Website: http://www.cica.ca/

The CICA, together with the provincial and territorial institutes of chartered accountants, represents a membership of 60,000 professional accountants in Canada and Bermuda. The CICA sets accounting and auditing standards for business, not-for-profit organisations and government. It issues guidance on control and governance, publishes professional literature, develops continuing education programmes and represents the CA profession nationally and internationally.

Chartered Institute of Management Accountants

63 Portland Place London W1N 4AB United Kingdom Tel: +44 207 6372311

Fax: +44 207 6372311

Website: http://www.cima.org.uk

The Institute is an independent body whose aim is to promote and develop the science of management accountancy, to provide a professional organisation for management accountants and to examine those wishing to enter the profession. Wide international recognition has been achieved and more than 12,000 of the Institute's members are working in over 120 countries outside the British Isles. The uniqueness of the CIMA qualification is maintained by insisting that the skills and practical experience needed for membership can be acquired by working in a relevant business situation, with strong emphasis on exposure to the various management functions.

Chartered Institute of Public Finance and Accountancy (CIPFA)

3 Robert Street London WC2N 6BH United Kingdom

Tel: +44 207 543 5600 Fax: +44 207 543 5700

Website: http://www.cipfa.sift.co.uk/

CIPFA offers specialised training for accountants in the public services. It also provides cost effective, relevant support services designed to keep financial professionals informed with the latest thinking on key public sector issues.

Commonwealth Association for Public Administration and Management (CAPAM)

Suite 402-1075 Bay Street

Toronto, Ontario Canada, M5S 2B1 Tel: +1 416 920 3337 Fax: +1 416 920 6574

Email: capam@compuserve.com

Website: http://www.comnet.mt/capam/

The aim of CAPAM is to enhance Commonwealth co-operation in improving managerial competence and achieving organisational excellence in government. CAPAM exchanges experiences on new developments and innovations in management in governments by building networks among elected and senior officials, academics and non-governmental organisations. CAPAM provides rapid access to information on best practices in government administration.

Institute of Chartered Accountants in England and Wales (ICAEW)

Chartered Accountants' Hall PO Box 433 Moorgate Place London EC2P 2BJ United Kingdom

Tel: +44 207 920 8100 Fax: +44 207 920 0547

Website: http://www.icaew.co.uk/

The Institute of Chartered Accountants in England and Wales is the largest professional accountancy body in Europe and its qualification is recognised around the world as a

prestigious business qualification. The Institute's website provides a *Library of Information Services* with numerous links to relevant sites.

Institute of Chartered Secretaries and Administrators

16 Park Crescent London W1N 4AH United Kingdom Tel: +44 207 5804741

Fax: +44 207 3231132

Website: http://www.icsa.org.uk/icsa

The Institute of Chartered Secretaries and Administrators is the leading professional body for company secretaries and corporate administrators in the public, private and voluntary sectors and acts as the professional forum for 46,000 Members and 27,500 students world-wide. The Mission of the Institute is the Promotion of Professional Administration.

Institute of Personnel and Development (IPD)

IPD House, Camp Road London SW19 4UX UK

Tel: +44 (181) 871 9000 Fax: +44 (181) 263 3333 Email: ipd@ipd.co.uk

Website: http://www.ipd.co.uk/

The IPD is the UK professional body with over 90,000 members concerned with promoting best practice in the field of management and development of people, for application both by professional members and by their organisational colleagues.

International Council on Archives Committee on Archival Buildings and Equipment (ICA/CBQ)

60, rue des Francs-Bourgeois 75003 Paris, France

Tel: +33 0 1 40 27 63 06 Fax: +33 0 1 42 72 20 65

Email: 100640@compuserve.com Website: http://www.archives.ca/ICA/

This ICA committee studies and drafts guidelines and directives concerning the planning, construction, renovation and equipping of archival buildings; it also works to promote the exchange of views and experiences in this area. The ICA is the primary international agency for archival work around the world.

International Personnel Management Association (IPMA)

1617 Duke Street Alexandria, VA 22314 USA

Tel: + (703) 549-7100 Fax: + (703) 684-0948 Email: IPMA@IPMA-HR.ORG Website: http://www.ipma-hr.org/

The International Personnel Management Association (IPMA) is a professional association for public personnel professionals, primarily those who work in federal, state, or local government. IPMA's mission is to provide professional human resource management leadership, education, information, and representation services to advance organisational objectives and quality in the public sector.

Activity 23

Find out if your institution has any information about any of the agencies listed above. Does your organisation receive publications, participate in conferences or meetings or otherwise work with any of these groups?

In your opinion, which groups should your institution consider communicating with first, if any, and what would you expect to achieve by doing so? How would you go about building a productive relationship?

ADDITIONAL RESOURCES

There are many publications available about management in general or about particular areas of management theory and practice. Some are more easily obtained than others, and some more up-to-date than others, but older publications also contain valuable information and may be more easily found in libraries in your particular country or region than very new publications that have not yet circulated around the world. The following publications on the subjects covered by this module should be noted. Core publications are identified with an asterisk (*).

Core publications are also identified in the Additional Resources document; refer to that document for information on more general publications on records and archives management.

Management

Armstrong, Michael. A Handbook of Personnel Management Practice. 4th ed. Kogan Page, 1995.

* Duchein, Michel. *Archive Buildings and Equipment*. ICA Handbooks Series, Vol. 6. Munich, GER: KG Saur, 1988.

Lakein, Alan. *How to Get Control of Your Time and Your Life*. New York, NY: Penguin Books, 1974. A video based on this book is also available, called 'Time of Your Life'.

Lock, Dennis, ed. *The Gower Handbook of Management*. 4th ed. Aldershot, UK: Gower, 1998. ISBN 0 566 07938 0.

Senge, Peter. *The Fifth Discipline: The Art and Practice of the Learning Organization*. Doubleday Books, 1990.

UNESCO. PGI. Survey of Archival and Records Management Systems and Services 1982. (RAMP Study PGI-82/WS/3). Paris, FR: UNESCO, 1982.

John Clease, performer, "Meetings, Bloody Meetings" (a video production on staff management issues)

Health and Safety

Childs, RJ. Health and Safety. Best Practice Guidelines 3. UK: Society of Archivists, 1996.

This publication is specifically geared to UK legislation, but the general principles may be adapted to other environments.

Professional Development

Bowden, Russell. *Guidelines for the Management of Professional Associations in the Fields of Archives, Library and Information Work.* (RAMP Study PGI-89/WS/11). Paris, FR: UNESCO, 1989. Available electronically through the UNESCO website.

International Council on Archives. *Code of Ethics*. Paris, FR: International Council on Archives, 1996. Available electronically through the ICA website.

Budgeting

Taylor, Peter. How to Manage Budgets and Cash Flows. How to Books Ltd., 1994.

* Wilsted, Thomas, and William Nolte. *Managing Archival and Manuscript Repositories*. Chicago, IL: Society of American Archivists, 1991.

See Chapter 6 on financial planning and budgeting.

Wood, Frank. Business Accounting 1. 7th ed. London, UK: Pitman, 1996.

Activity 24

Check your institution's library or resource centre. What books or other resources do you have about resource management issues? Are any of the publications listed above available in your institution? If so, examine two or three of them and assess their currency and value to your institution. If not, identify two or three publications you think would be most useful to help develop or expand your professional library. Devise a plan outlining how you could realistically obtain copies of these.

SUMMARY

This lesson has provided an overview of the entire module, *Managing Resources for Records and Archives Services*. It has then discussed how to establish priorities for action and suggested that the main priorities for action are often as follows.

- Priority 1: Identify current practices in recruiting and retaining records and archives staff
- Priority 2: Evaluate your institution's practices for developing staff potential
- Priority 3: Draw up a financial plan for a project to help your institution to achieve one of its key objectives
- Priority 4: Establish the physical resources necessary to complete that plan satisfactorily

The lesson then outlined ways to find out more information or get help with resource management issues.

The lesson concluded with a discussion of valuable information resources relevant to resource management.

STUDY QUESTIONS

- 1. In your own words, explain the reason why the priorities proposed in this lesson are offered in the order they are in.
- 2. Indicate two of the organisations listed in this lesson that you would choose to contact first and explain why.
- 3. Indicate two of the publications listed in this lesson that you would choose to purchase first and explain why.

ACTIVITIES: COMMENTS

Activity 22

The priorities chosen by each organisation, government or other agency will be different, depending on the specific needs and concerns in that jurisdiction. However, it is always wise to begin by assessing the situation as a whole, and then to determine achievable actions that could be taken, rather than trying to accomplish too much in a short time or taking action without adequately assessing the environment.

Activity 23

If resources are limited, it is wise to communicate with national organisations first, as they can set your requirements in the wider national legislative and administrative context. However, you should also use international organisations to obtain information on best practice elsewhere to set against the national situation. Valuable information can be passed on to your organisation through the international group, which can save resources for all.

Activity 24

It is important to begin with general information and ensure you have a good resource library of introductory and overview publications before developing a more specialised library.