

## Information for applicants: Records Review Officer – Regulatory Enablers Ref: OFW– BC151

### Introduction from David Black, interim Chief Executive

Water companies support all aspects of life. Safe and reliable water and wastewater services are essential for our day to day lives, our wellbeing, and our natural world.

And as the economic regulator of water and waste water in England and Wales, our role is to enable, incentivise and hold companies to account for providing the very best for customers, society and the environment now and in the future. We also oversee the markets that exist in the water sector to make sure they are working for customers.



To achieve this, we've set ourselves three goals. They are to:

- transform water companies' performance;
- drive water companies to meet long-term challenges through increased collaboration and partnerships; and
- for water companies to provide greater public value, delivering more for customers, society and the environment.

Delivering these goals will help to meet customers' needs: ensure reliable and safe water supplies today with a better environment, affordable bills and a resilient and sustainable future for water.

As we do this, we will be working to fulfil the UK and Welsh Governments' strategic priorities for Ofwat, and UK and Welsh Government policy.

We're ambitious about the future and looking for people who can help us to achieve our goals. Thanks for your interest in joining Ofwat. We look forward to receiving your application.

David Black  
interim Chief Executive

## About Ofwat and the role

Ofwat (the Water Services Regulation Authority) is the economic regulator of the water and wastewater sector in England and Wales. Our role is to help it build trust and confidence with customers, the environment and wider society. Ofwat has an ambitious new [strategy](#) and as a regulator we are setting ourselves up to achieve and equal the ambition of this new strategy. It matters to us that things on the ground really change so that our impact on customers, the environment and the future of water is tangible and meaningful.

Our work is high-profile and fast-moving, within a dynamic and agile environment. The work that you'll be involved in every day will be about helping us to deliver our strategy, helping to us to be the regulator we want to be and helping the sector to deliver outcomes that matter to customers and society. Our strategy sets out the role Ofwat will play. We will adapt, be confident, act with purpose and integrity and continuously improve so that we make the greatest contribution possible to improving life through water.

## The Role

You will be joining Ofwat at an exciting time - where the Information Governance and wider Data Strategy/ Open Data are being developed and rolled out to ensure we are making the most of our information assets demonstrated through the day-to-day operational performance and improvement of Ofwat, as well as considering how we might best maximise the use of the water sector's information assets.

You will act as an in-house specialist for digital transfers due to the increasing number of digital records, and the continuing need to work required in this area to achieve legal compliance with the Public Records Act 1958 by the end of 2022, and beyond.

The role of Records Review Officer will require strong records management experience and the ability to hit the ground running and be a confident self-starter. You may also be asked cover other aspects of Information Governance which may include managing the FOI inbox and leading on preparing high quality draft responses to FOI/EIR and SAR requests.

Work will need to be completed to a tight time timetable, following the correct policies and processes in line with The Public Records Act 1958 and the 20-year rule and 20 day /30-day deadline for FOI/EIR and SAR requests. Work will need to be completed following appropriate governance and working together with a number of different work streams. All our documentation will need to stand up to external scrutiny.

The nature of the work means that the person in this role will need to work flexibly. and with colleagues and external stakeholders to understand and assessing the value of records held by Ofwat.

## Key deliverables

### Tasks will include:

#### **Records Management**

- Assisting Ofwat comply with the Public Records Act 1958 by identifying, reviewing, and classifying paper and digital records.
- Making sound, evidence-based recommendations on whether paper and digital records should be destroyed in line with Ofwat retention policies; or transferred to The National Archives for permanent preservation.
- Working to minimal supervision, be confident in retrieving, handling, and reviewing paper records, which may be stored offsite. May also involve occasional travel and offsite visits to Restore in Coventry, TNA, and other offsite records depositories.
- Be able to complete cleaning and sensitivity of review of paper and digital files (with training if required). Have a confident understanding of FOI exemptions and how they apply to closing records at TNA.
- Be able to prepare paper files to be transferred to TNA (boxing, ordering stickers, stationary).
- With minimums supervision, be able to set up create and set up data bases, spreadsheets to review and monitor workflows/ templates.
- Be able to review and prepare digital files for transfer to TNA.
- Review, update and classify Ofwat's web pages with a view to potential transfer to TNA.
- Support the Information Governance Principle in developing and enhancing Ofwat's digital preservation strategies.
- With limited supervision proactively working with stakeholders including colleagues across clusters in Ofwat, Restore depository and The National Archives.
- Providing appropriate advice and guidance to Ofwat colleagues on records management processes and sharing best practice.

#### **FOI/EIR/ Other tasks.**

- Admin support for the IG Principle – arranging meetings, note taking, updating spreadsheets.
- Supporting joint projects and wider organisational development work in line with Ofwat's data strategy/ open data.
- Being flexible to support ad-hoc projects.
- Working to minimal supervision support in preparing and drafting quality, accurate responses for all requests for information received under FOIA 2000, EIR 2004 and SAR. Have an eye for detail, a confident understanding and working knowledge and application exemptions/ exceptions.
- Compiling FOI/ EIR stats for quarterly and yearly submissions to the Cabinet Office. Evaluating stats to spot trends and patterns for management updates.
- Keep updated with best practice policies and process from the ICO and TNA and relevant precedent cases. Share best practice and knowledge with colleagues across Ofwat.
- Be keen to improve knowledge and skills across the KIM (Knowledge and Information Management) professions as part of the role and learn and engage and network with other regulatory bodies and other Government departments.

## Professional requirements

	Essential	Desirable
<b>Qualifications</b>	N/A	<ul style="list-style-type: none"> <li>• Data Protection/ FOIA / EIR training courses</li> <li>Records management qualifications, training courses and or membership of CILIP, IRMS, or ARA.</li> </ul>
<b>Skills and Experience</b>	<ul style="list-style-type: none"> <li>• The person in this role will be a confident self-starter with strong records management experience and the ability to hit the ground running.</li> <li>• Working knowledge and experience of FOIA/ DPA/ EIR legislation.</li> <li>• Experience of working with paper/digital/electronic records.</li> <li>• Experience of working with and application of retention schedules.</li> <li>• Experience of working with The National Archives processes Operating Selection Process (OSP) especially with regards to The Public Records Act</li> </ul>	<ul style="list-style-type: none"> <li>• Knowledge and experience of digital preservation technology using systems such as DROID (or equivalent).</li> </ul>

	<p>1958 and FOI S. 46 Code of Practice Records Management.</p> <ul style="list-style-type: none"> <li>• Practical knowledge and experience and application of FOIA 2000, EIR 2004 DPA 2018 and other relevant legislation.</li> <li>• Excellent oral and written communication skills. Be able to draft quality letters, emails and communication with minimum supervision</li> <li>• Ability to use knowledge and records management expertise to review digital and paper material accurately and at pace.</li> <li>• Good working experience in using systems such as Excel, SharePoint, EDRMS and Microsoft Teams. Comfortable with using new innovative technology for current and future working practices.</li> <li>• Working with the Information Governance Principle to review and improve current records management processes.</li> <li>• Working efficiently and accurately to competing deadlines, prioritise workloads supporting Ofwat to meet the targets set in our Records Review and Transfer plan as agreed with The National Archives</li> </ul>	
<p><b>Strengths and behaviours</b></p>	<p>The successful candidate is expected to demonstrate Civil Service Behaviours and Strengths during the recruitment process. The following behaviours will be assessed based on the written application and at interview:</p> <ul style="list-style-type: none"> <li>• Making Effective Decisions</li> <li>• Changing and Improving</li> <li>• Communicating and Influencing</li> <li>• Delivering at Pace.</li> </ul>	

## Terms and conditions of employment

### Contract

This is a 2 year Fixed term appointment

## Salary

The salary range for Senior Associate is Band 3 – 33,851 – £50, 615. The level of salary offered to the successful candidate(s) will depend on the skills and experience demonstrated as well as other factors including internal relativities. For further information or an informal discussion please contact [recruitment@ofwat.gov.uk](mailto:recruitment@ofwat.gov.uk). Salary is paid monthly by credit transfer.

Internal and Civil Service candidates already at this job level would normally maintain their existing salary arrangements as this would be classed as a level transfer. If applying for the role as a promotion, these candidates can typically expect to be appointed on a salary at the bottom of the band or a 10% increase to existing salary, whichever is greater.

## Location

This role is based at our London or Birmingham office and this will be the designated place of work.

Ofwat is an inclusive employer and flexible working is an important part of our culture. The benefits of flexible working are well recognised in improving our employees' work-life balance and supporting their health and wellbeing. There is the opportunity for blended working combining office based and working. The balance between home and workplace working is to be agreed with the line manager. and any home working arrangement does not constitute a change to your designated place of work or contractual terms and conditions. The successful candidate will be expected to pay for their commute to their normal place of work. Travel to other locations that are not your chosen normal place of work will be paid for.

## Contracted place of work and taxable expenses

Any person who regularly works more than two days a month in both the Birmingham and London offices, irrespective of their contracted place of work, is considered by HMRC to have two permanent workplaces.

The payment of your rail fare, accommodation or subsistence in this situation attracts tax and National Insurance because you are receiving a benefit.

Ofwat meets the cost of the tax and National Insurance by grossing up your expenses and recovering the net amount through your monthly pay package. But the expenses are classed

as taxable earnings, which could impact on any attachment of earnings – for example, student loan repayments, high income child benefit and state benefits.

This means that you will not be required to meet the costs of travel to the office location where you are not based.

For further information on taxable expenses, please email [payroll@ofwat.gov.uk](mailto:payroll@ofwat.gov.uk).

## Hours of work

The successful post holder will be required to work a minimum of 37 hours, excluding lunch breaks. You will be required to work such additional hours as is reasonable and necessary for the efficient performance of your duties.

## Probation

There is a probationary period of six months for all new entrants. Subject to satisfactory performance, the post holder will be transferred to permanent establishment at the end of their probation.

## Annual leave

On appointment the post holder will be entitled to 25 days annual leave plus 10½ days' public and privilege holidays a year. Annual leave entitlement will be increased by one day for each year of continuous employment with Ofwat, up to a maximum leave allowance of 30 days.

## Pension

On appointment, you are eligible to join the Civil Service Pension. The Civil Service offers a choice of defined benefit and stakeholder pensions, giving you the flexibility to choose the pension that suits you best. We offer you a choice of two types of pension.

**Alpha:** alpha is an occupational pension scheme and provides a defined benefit worked out on a Career Average basis.

From 1 April 2020, member contributions are based on actual salaries.

From 1 April 2020, employee contributions are:

Actual pensionable salary (annual)	All members
Up to and including £22,600	4.60%
£22,601 to £54,900	5.45%

£54,901 to £150,000	7.35%
£150,001 and above	8.05%

From 1 April 2020, employer contributions are:

Revised Salary Band (£)	ASLC rate from 1 April 2020
23,000 and under	26.6%
23,001 to 45,500	27.1%
45,501 to 77,000	27.9%
77,001 and over	30.3%

**Partnership:** this is a stakeholder pension with a contribution from Ofwat. How much we pay is based on your age. We pay this regardless of whether you choose to contribute anything. You do not have to contribute but, if you do, we will also match your contributions up to 3% of your pensionable earnings.

Employer age-related contributions are:

Age at the last 6 April	Percentage of your pensionable earnings
Under 31	8%
31 to 35	9%
36 to 40	11%
41 to 45	13.5%
46 or over	14.75%

To learn more about the Civil Service Pension schemes, please follow the link <http://www.civilservicepensionscheme.org.uk/>

## Ofwat benefits

We also offer a range of additional benefits. These include:

- access to our package of benefits via our 'Edenred' scheme. This is a voluntary benefits scheme where staff have access to exclusive discounts on a range of goods and services such as retail outlets, theatre tickets, holidays, insurance and gym membership;
- cycle-to-work scheme;
- season ticket loan for travel between home and office;
- flexible working arrangements;
- fees paid for membership of relevant professional bodies;



- regular professional development;
- health and wellbeing initiatives; and
- free eye tests and contribution towards lenses/spectacles for VDU users, if appropriate

Any move to Ofwat from another employer will mean you can no longer access childcare vouchers. This includes moves between government departments. You may however be eligible for other government schemes, including Tax-Free Childcare. Determine your eligibility at <https://www.childcarechoices.gov.uk/>.

## Further information

### Security clearance

Any offer of appointment will be subject to satisfactory completion of security and pre-employment checks. Further information about the security checking procedure is available on request.

### Nationality and immigration control

This post is open to nationals of states within the British Commonwealth and the European Economic Area (EEA) and certain members of their families. There must be no employment restriction or time limit on your permitted stay in the UK.

If you would like further information on Nationality and Immigration Control, please email us at [people@ofwat.gov.uk](mailto:people@ofwat.gov.uk).

### Stocks or shares

Because of the nature of the information you will come into contact with and the need to be wholly independent of the water sector in England and Wales, you and your family (including your spouse or civil partner and any children or step-children under the age of 18 who still live at home, or any other member of your household) will be precluded from owning, purchasing or dealing in the shares of the water companies and their holding companies.

## How to apply

Applicants should apply through the Civil Service Jobs website. You will be asked to create an account and complete an application form. If you are unable to make an electronic application, you may submit your application on paper.

Please contact us to find out how at [recruitment@ofwat.gov.uk](mailto:recruitment@ofwat.gov.uk)

## Selection timetable

Closing date	Friday 29th October 2021
Sifting	Week commencing 1st November 2021
Interview date(s)	Week commencing 15th November 2021

Should we receive a significant number of applications, any initial sift will be conducted on technical expertise and the lead behaviour (Making Effective Decisions). A second sift may be conducted to compile an interview short-list.

A reserve list of candidates for similar roles within Ofwat may be kept for a period of up to 12 months.

## Expenses

We will refund travelling costs at the rate of standard rail fare for the journey or motor mileage rates (cars: 25p per mile). Please note that proof of purchase will be required for all public transport expenses.

We cannot refund expenses for travel into the UK. If you have to stay overnight, please contact [recruitment@ofwat.gov.uk](mailto:recruitment@ofwat.gov.uk) for further details.

## Data protection

We will use your application only to inform the selection process. If you are successful it will form the basis of your personal employee record with us and we will store it electronically within our SharePoint Electronic Document Management System (EDRMS) and our HR system iTrent. Unsuccessful applications are not retained and will be destroyed using Ofwat's secure disposal methods. If you have indicated that you would like Ofwat to retain your information for future similar employment opportunities we will retain this information. If at any point you decide you do not wish Ofwat to retain your information for these purposes please contact us and we will ensure your information is removed from our systems, unless we are legally obliged to hold it for a further period.

We will hold any data about you in completely secure conditions and with restricted access. Information in statistical form on present and former employees in some instances is provided to appropriate outside bodies. Wherever possible Ofwat ensures that statistical information is anonymised.

We will include data that you provide on the diversity monitoring form in a general database for statistical monitoring purposes only. This enables us to monitor the effectiveness of our policy on equal opportunities in employment.

Ofwat processes all the personal data you have provided during your application as set out in Ofwat's privacy policy which is available here: <https://www.ofwat.gov.uk/publication/privacy-policy/>. If you have any concerns regarding the processing of some or all of your data please inform the People Hub in writing to [people@ofwat.gsi.gov.uk](mailto:people@ofwat.gsi.gov.uk) and/or the Data Protection Officer by emailing [FOI@ofwat.gsi.gov.uk](mailto:FOI@ofwat.gsi.gov.uk).

## Diversity

Ofwat aims to be an equal opportunities employer. We intend to make sure that there is equality of opportunity and fair treatment for all irrespective of:

- age;
- disability;
- gender reassignment;
- marriage and civil partnership status;
- pregnancy and maternity;
- race, religion or belief; or
- sex or sexual orientation.

We would like to assure you that we will treat the information you provide on the diversity monitoring form in the strictest confidence and only use it to help us monitor appropriate equal opportunities policies. This information plays no part in our selection process.

## Investors in People (IIP)

Ofwat has IIP accreditation which reflects good management practices throughout our organisation, including in business planning, individual objective setting, learning and development opportunities, as well as continuous constructive feedback through our delivery and development conversations approach to performance management.

## Complaints procedure

The process of recruitment and assessment embraces the principles of fair and open competition and best practice. The first is to maintain the principle of selection for appointment to the Civil Service on merit on the basis of fair and open competition as outlined in the [Civil Service Recruitment Principles](#). The second is to promote an understanding of the [Civil Service Code](#) which sets out the constitutional framework in which

all civil servants work and the values they are expected to uphold, and to hear and determine appeals made under it.

If you feel your application has not been treated in accordance with the recruitment principles and you wish to make a complaint, you should contact Sarah Lal, Head of HR, Corporate Enablers (People), Ofwat, Centre City Tower, 7 Hill Street, Birmingham, B5 4UA in the first instance. If you are not satisfied with the response you receive from us you can contact the Civil Service Commission at [info@csc.gov.uk](mailto:info@csc.gov.uk).