DPC Competency Audit Toolkit Guide

Version 1.1

August 2022

Contents

1. Document History

Version	Date	Revision Notes
1.0	June 2022	Member preview release
1.1	August 2022	Full public release – incorporating pilot feedback

2. Acknowledgements

Thank you to the Nuclear Decommissioning Authority who have supported the development of this resource.

Thanks also go to colleagues within the DPC team and members of the DPC's Workforce Development Sub-Committee for their support, feedback, insights, and encouragement during the development of the toolkit.

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4. Introduction

The DPC Competency Audit Toolkit (DPC CAT) has been developed as a companion resource to the DPC Competency Framework[1]. The DPC Competency Framework identifies and describes five competency areas and twenty-eight skill elements required to undertake the full range of digital preservation work, and closely aligns with the DPC's Rapid Assessment Model (DPC RAM)[2]. DPC CAT provides users with practical, structured processes for assessing the skill levels of those undertaking digital preservation work at their organization, to assess current skills relating to the competency areas and skill elements presented in the Competency Framework.

The Toolkit itself is composed of this Guide and two Excel workbooks[3]—one for individual assessment activities and one for an organizational audit—which together provide processes to conduct three related competency assessment activities:

1. **An audit of an individual's current skill levels against those defined by the Competency Framework.** This can help with identifying key gaps and facilitate professional development planning.
2. **A comparison of an individual's role description with the tasks and responsibilities they actually undertake**. This can help identify where updates might be required to role descriptions, where workloads may need to be reassessed, and where additional staff or compensation may be required.
3. **An audit of the skills of a group of staff members against the skill levels required to maintain and improve the organization's digital preservation capabilities**. This can identify where skills gaps exist within the organization, highlighting requirements for professional development and/or additional staff members.

This Guide provides step-by-step guidance on how to use the Excel workbooks to undertake the activities listed above. It also includes advice on issues to consider when preparing for these activities, and suggestions for how the information gathered might be used once the assessments are complete.

DPC CAT is the first in a range of companion resources planned to complement the DPC's Competency Framework, more information will be available on the DPC Website as they are developed.

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[1] https://doi.org/10.7207/dpccf22-01
[2] http://doi.org/10.7207/dpcram21-02
[3] https://www.dpconline.org/digipres/train-your-staff/dp-competency/dpc-cat

5. How to Use This Toolkit: Individual Assessments for Professional Development and Role Descriptions

This section provides detailed guidance on how to use the DPC CAT Individual Skill Audit Excel workbook (DPCCAT_IndividualSkillAudit.xlsx) for two kinds of individual assessment activities:

1. Auditing an individual's current skills against those defined by the Competency Framework to facilitate professional development.
2. Comparing an individual's current tasks and responsibilities with those defined by a relevant role description to identify where updates might be required, workloads may need to be reassessed, or where additional staff or compensation may be required.

The next two sub-sections correspond to the above activities. Both begin by introducing key issues to consider before starting the assessment activities, then provide step-by-step guidance on completing the relevant worksheets in the Excel workbook and offer advice on how the data collected may be used to support workforce development activities.

In the DPC CAT Individual Skill Audit Excel workbook there are eight tabs, two green and six blue. The blue tabs contain the content from the full Competency Framework and are included for reference only. The green are tabs for completion of the audit and are labelled as follows:

1. **"Audit and Development Planning"**
2. **"Role Description Assessment"**

Images of these worksheets are available in Appendices One and Two.

5.1 Auditing Individual Skills for Professional Development Planning

The first worksheet in the Individual Skill Audit Excel workbook, titled "Audit and Development Planning," can be used to audit an individual's skills. The worksheet is structured to allow a user to work through and assess their skills against one or more of the twenty-eight skill elements listed in the DPC Competency Framework, by:

1. Identifying if the skill element is relevant to their role
2. Rating their current skill level in relation to the skill element
3. Setting a target skill level (optional)
4. Noting ideas for how their skill level might be increased through development opportunities (optional)

5.1.1 Before You Start: Issues to Consider

Before you begin, it is important to consider a few issues first. These will inform how the individual assessment activity is approached, the data gathered, and how it will be used once the process is completed. For these reasons, it is worth considering the following:

- **Why –** Why are you undertaking the audit? What are your aims for the process? What outcomes would you like to achieve?
- **How –** How are you planning to undertake the process? Will it form part of other activities, such as an annual performance review?
- **Who –** Who will be involved in the audit process? Will you do it on your own? Will you be working through it with a line manager, mentor, or colleagues who are also auditing their skills (perhaps in a workshop environment)?

Answering the questions above before starting the individual audit worksheets will allow you to gain the most from the process.

Please note: If you are conducting—or plan to use the Toolkit for—an organizational skills audit (see Section 6.2), the data entered into this "Audit and Development Planning" worksheet will be reused. In particular, data from the second column ("Current Skill Level – Number") will be collected and added to a larger organizational worksheet.

5.1.2 Steps to Complete the Audit and Development Planning Worksheet

Completing the Audit and Development Planning worksheet for an individual audit should be a relatively straightforward process. It requires working through each of the listed twenty-eight skill elements and identifying if they are relevant to the individual's role, then assessing the current skill level for each relevant skill element based on the five skill levels. Individuals also have the option to add a potential target skill level for each element and note ideas on how to increase their skill level to reach that target.

The information presented below gives a detailed summary of what should be entered into the "Auditing and Development Planning" worksheet under each column, and an example of completed rows is provided in Figure 1.

Information entered in the Audit and Development Planning worksheet should be completed as follows:

- **Relevant to Role? [Column D]:** This indicates if the skill element is relevant to the individual's current role. A "Yes" or "No" should be entered here from the picklist available. If unsure about what is covered by the skill element, details of what types of related tasks can be found in the full Competency Framework document.

- **Current Skill Level – Number [Column E]:** This is the column where an individual should indicate their current skill level in relation to a skill element based on the five skill levels defined with the DPC Competency Framework. A description of the skill levels is included in the workbook (in the "Skill Levels" tab). A number representing the relevant skill level or not applicable (N/A) should be selected from the picklist. For the non-digital preservation skills, they should be scored according to the generic skill rather than its specific application to digital preservation. For example, an individual who has extensive experience of developing and maintaining policy would score highly for this skill element, even if none of the policy work they had undertaken related to digital preservation. If the skill element isn't relevant to the individual's role, they may still choose to select a score if this is an area where they wish to improve their skills to aid with advancement. As mentioned above, this column is particularly important if the individual audit data will be reused as part of an organizational skill audit.

- **Current Skill Level – Text [Column F]:** This provides the textual indicator for the chosen current skill level. This field will auto-populate when an entry is entered into the "Current Skill Level – Number" field or can be manually entered from a picklist.

- **Target Skill Level (optional) [Column G]:** This column can be used to indicate the desire or need for an increase in skill level compared to the current assessment as part of professional development planning. Skill level options can be selected from a picklist. It is recommended that targets are carefully considered and realistic. A one-level increase is likely to be the target in most cases, with a two-level increase being set only if a specific, priority need has been identified.

- **Ideas on How to Increase Skill Level (optional) [Column H]:** This column can be used to note ideas on possible professional development opportunities that could be used to reach target skill levels. The fields allow for free text entry. Ideas might include: a training course, participation in a particular project, shadowing a colleague, attending a conference, or joining a community working group. It is important to remember that professional development does not always require a more formal education or training setting, there are often opportunities to be found by participating in new tasks or working with/learning from peers.

Skill Area	No.	Skill Element	Relevant to Role?	Current Skill Level - Number	Current Skill Level - Text	Target Skill Level - Number (optional)	Target Skill Level - Text (optional)	Ideas on How to Increase Skill Level (optional)	Notes (optional)
Governance, Resourcing, and Management	1	Policy Development	Yes	1	Beginner	2	Intermediate	Assist Digital Archivist with forthcoming policy review	Review training notes before starting
	2	Risk Management	Yes	0	Novice	1	Beginner	DPC risk management training course	
	3	Resource Management	No						
	4	Staff Management	No						
	5	Strategy and Planning	Yes	1	Beginner	2	Intermediate	Draft project plan for review by mentor	
	6	Analysis and Decision-Making	Yes	2	Intermediate	2	Intermediate		

Figure 1 - Example of an individual audit worksheet after data has been entered

5.1.3 Advice: Using the Audit Results

With the completion of this worksheet, a structured overview of an individual's skills has been created and can now be captured and used for a number of purposes such as:

- **Identification and prioritization of key areas for development.** These might feed into a formal development plan or simply be used as a reference for the individual themselves.
- **As evidence for development requests.** Presenting clear, well-structured information on development needs will aid in making the case for funding to support development opportunities and/or the time required away from an individual's main duties to undertake development activities.

It is also important to consider when this individual assessment activity might be repeated. Regular assessments will allow the individual to track their development over time. As mentioned above, this might be done as part of a formal performance assessment process or on a schedule set by the individual to suit their own needs.

5.2 Assessing Individual Skills for Audit of Role Description

The second worksheet in the workbook, titled "Role Description Assessment", can be used to facilitate an audit of a role description to help identify where updates might be required, workloads may need to be reassessed, or where additional staff or compensation may be required. The worksheet is structured to allow a user to work through and assess an individual's current tasks and responsibilities with those defined by a relevant role description, by:

1. Gathering information on a role holder's key tasks and responsibilities
2. A place to record if these tasks and responsibilities are currently represented in the role holder's role description and space to capture the related text from the role description
3. A place to identify if the current role description is fit for purpose in relation to the role holder's actual tasks and responsibilities, i.e., that there is text covering the tasks and responsibilities and that it accurately reflects the work that is undertaken.

4. A place to capture notes on changes needed or issues identified during the process.

5.2.1 Before You Start: Issues to Consider

Before starting on an assessment of a role description, it is important to consider a few issues, as these will inform how the activity is approached, the data gathered, and how it is used once the process is completed. It is worth considering the following:

- **Why –** Why are you undertaking the assessment? What are your aims for the process? What outcomes would you like to achieve? This may be anything from simply an updated role description, through making a case for further compensation, a promotion, or recruitment of additional staff members.
- **How –** How are you planning to undertake the process? Do you record the tasks you undertake in a format that can help with entering information into the worksheet, perhaps on a workplan or "to do" list? Do you want to examine other role descriptions during the assessment to help identify how updates could be made? This could include role descriptions from colleagues at your organization, or peers at other organizations who are able to share their role description.
- **Who –** Who will be involved in the audit process? Will you do it on your own? Will you work through it with a line manager, mentor, or colleagues who are also assessing their role descriptions (perhaps in a workshop environment)?

Considering the questions above before starting the audit will allow you to gain the most from the process.

5.2.2 Steps to Complete the Role Description Assessment Worksheet

Completing the assessment requires the role holder to work through each of the 28 skill elements and identifying if they are relevant to their role, what tasks or responsibilities they undertake that relate to the skills element, if these are represented in their current role description, the text from their role description relating to the skill element, if any updates are needed to the role description based on the comparison of their work and role description, and notes on what those updates might be.

The information provided below gives a detailed summary of what should be entered into the "Role Description Assessment" worksheet under each column, and an example of completed rows is presented in Figure 2

The columns in the Role Description Assessment worksheet should be completed as follows:

- **Relevant to Role? [Column D]:** This indicates if the skill element is relevant to the individual's current role. A "Yes" or "No" should be entered here from the picklist available. If unsure about what is covered by the skill element, details of what types of tasks are related can be found in the full Competency Framework document. If an individual skill audit has already been completed, this column can be copied over from the same column on the "Audit and Development Planning" worksheet.
- **Related Tasks and Responsibilities [Column E]:** This column should be used to record details of the tasks and responsibilities of the role holder that relate to the skill element. These should be the tasks and responsibilities that the role holder actually undertakes, without reference to what is included in their role description. This field allows free text entry. For example, under the skill element "Metadata Standards and Implementation," a role holder might list maintaining the digital asset register of digital collections content, capturing metadata about new acquisitions, managing file registers for digital collections content, and cataloguing digital collections using ISAD(G).
- **Included in Role Description [Column F]:** This column is used to indicate if the skill element and the relevant tasks and responsibilities are covered in the role holder's current role description, thus identifying possible gaps. The entries in columns D and E should be compared with the role description and one of the following options should be selected from the picklist:
    - **Yes –** The tasks/responsibilities are included in the role description and adequately describe the work that is undertaken by the role holder.
    - **Partially –** Some or all of tasks/responsibilities are included in the role description, but the text needs to be expanded or updated to adequately describe the work that is undertaken by the role holder.
    - **No –** The tasks/responsibilities are not represented in the role description.
- **Text from Role Description [Column G]:** This column should be used to record the relevant statements from the role description, allowing a clear comparison between them and the information recorded about actual tasks and responsibilities during the assessment. This field allows free text entry, so statements can be copied and pasted from a role description document.

- **Update Required? [Column H]:** This column should be used to indicate if the assessment has identified that an update is needed to the role description in relation to this skill element. A "Yes" or "No" should be entered here from the picklist available. In most cases, a "Partially" or "No" entered in the "Included in the Role Description" column will result in a "Yes" entered here, although there may be circumstances where a "Yes" is entered in both. For example, if there are a significant number of updates to be made for other skill elements, it might be advantageous to redraft all of the role description. Likewise, a "Partially" might be paired with a "No" if the task is minor and the role description includes a catch-all statement such as "will undertake other tasks as directed by the department manager."
- **Notes [Column I]:** This column should be used to capture any other information that will aid in the assessment. This might be ideas about or example text for updates that might be made, notes on relevant issues with colleague's job descriptions, or suggestions for other actions to address the issues identified. The field allows free text entry.

Skill Area	No.	Skill Element	Relevant to Role?	Related Tasks/ Responsibilities	Included in Current Role Description?	If Included in Current Role Description, How is Skill Described?	Update Required?	Notes
Governance, Resourcing, and Management	1	Policy Development	Yes	Developed organizational digital preservation policy and will manage biannual review and update process	Yes	Leads development review of digital preservation policy	No	
	2	Risk Management	Yes	Risk assessments for systems, workflows, and preserved content	No	N/A	Yes	Need explicit mention of risk management responsibilities, in particular to make case for further training
	3	Resource Management	No					N/A
	4	Staff Management	Yes	Line manager for 2 digital preservation officers	Yes	Will assume line management duties as required	Yes	Needs updating to be a better reflection of responsibilities, i.e. that this has become an essential part of the role
	5	Strategy and Planning						

Figure 2 - Example worksheet completed during a role description comparison

5.2.3 Advice: Using the Audit Results

Once the worksheet has been completed, it is possible to fully understand if the current role description is fit for purpose, what gaps there might be, and what updates need to be made or issues addressed. The information collected might be used in the following ways:

- **Redrafting the role description to address gaps and issues identified.** This might result in anything from some minor changes to a completely new role description being drafted.
- **As evidence to support a request for increased compensation or a promotion.** If significant gaps have been identified between expectations described in the role description and the reality of the tasks and responsibilities undertaken, then the role holder may wish to build a case for advancement. Being able to provide the information in a clearly structured and well considered format should aid in solidifying the case.

- **As evidence to support a business case for additional staff members.** If significant gaps have been identified between expectations described in the role description and the reality of the tasks and responsibilities undertaken, then this might be an indication of an unrealistic workload that could lead to issues like stress and burn-out. Being able to provide clearly structured and well considered information on the breadth of tasks and responsibilities expected of an individual will strengthen a case for additional staffing.

It is important to consider how the assessment relates to other related job descriptions within the team, department, or the wider organization. Updates will need to consider the relevant context and may prompt assessment and/or updates for others.

6. How to Use This Toolkit: Organizational Audit for Improving Digital Preservation Capabilities

This section provides detailed guidance on how to use the DPC CAT Organizational Skills Audit Excel workbook (DPCCAT_OrgSkillAudit.xlsx) for an audit of digital preservation staff competencies across an organization. The audit process is closely linked to the DPC's Rapid Assessment Model (DPC RAM), as the results of a DPC RAM assessment are required for completion of the audit process. The DPC RAM results set a benchmark for the organization's current and target digital preservation capabilities against which staff competencies can be measured.

The following sub-sections will introduce some key issues to consider before starting an assessment, then provide step-by-step guidance on how to complete the relevant worksheets in the Excel workbook, and finally offer advice on how the data collected might be used to support workforce development activities.

In the DPC CAT Organizational Skills Audit Excel workbook, there are nine worksheets, two green, one purple and six blue. The blue tabs contain the content from the full Competency Framework and are included for reference only. The audit itself will utilize the green and purple tabs which are as follows:

1. **"RAM Scores"** (Green tab)
2. **"Staff Skill Levels"** (Green tab)
3. **"Competency Audit Results"** (Purple tab)

Please note that two sheets with green tabs - "RAM Scores" and "Staff Skill Levels" - will be used for the entry of data. The "Competency Audit Results" worksheet with a purple tab will generate and provide results of the audit based on the data entered in the other two worksheets. Images of these worksheets are available in Appendices Four to Six.

6.1 Before You Start: Issues to Consider

Before starting an audit of organizational staff competencies for digital preservation, it is important to consider a few issues, as these will inform how the activity is approached, the data gathered, and how it is used once the process is completed. It is worth considering the following:

- **Why –** Why are you undertaking the assessment? What are your aims for the process? What outcomes would you like to achieve? This may be anything from identifying gaps in competencies at the organization to help plan for professional development (do skill levels need to be increased or are enough members of staff competent in a particular skill element) through gathering evidence to support a business case for additional members of staff.
- **How –** How are you planning to undertake the process? Will one member of staff be leading the audit, gathering the data, and entering it into the worksheets, or will it be a team project? Will the process be linked to annual performance review process? Does your organization already conduct regular assessments using DPC RAM and wish to add a competency audit to that process?
- **Who –** Who will be involved in the audit process? Who will be included within the scope of the audit? For some organizations, this might be easy to identify as there is a clearly defined digital preservation team. For other organizations, digital preservation activities might be undertaken by staff from across different departments, and it might not be as simple to identify who should be included in the audit's assessment. This might be particularly true in relation to those undertaking tasks such as managing storage systems and information security. It is important to carefully scope the audit, as well as securing agreement to participate for the relevant staff members and approval from relevant line managers/supervisors.

Considering the questions above before starting the audit will allow you to gain the most from the process.

For this type of audit, it is also important to be considerate of colleagues with regards to confidentiality and potential sensitivities. Some colleagues might view this process as an opportunity to pass judgement on their ability to fulfil their duties. It is therefore important to be considerate when approaching data gathering. Be clear on your approach to confidentiality and who will have access to the data, perhaps keeping the individual assessments limited to a very small group and only making the summary report more widely available.

Also take this into consideration with regards to how the data is gathered. Most staff might be happy to complete their individual assessments during a collaborative workshop or in discussion with the individual leading the audit, whereas others will wish to complete them on their own. If you believe this might be an issue, it might be worthwhile offering staff a range of options for completing individual assessments.

Finally, you may also need to consider if there might be resistance to completing the process in general. You may need to work with line managers or department heads to help ensure participation.

6.2 Steps to Complete the Organizational Skills Audit Worksheets

Completing the organizational competency audit requires the gathering of two sets of information, results of an assessment of the organization's digital preservation capabilities using DPC RAM, and the results of individual skill audits from all staff members who are in scope for the process. The following sub-sections provide details of how that information should be gathered and entered into the relevant audit worksheets.

6.2.1 Entering RAM Assessment Data

The first worksheet to be completed, titled "RAM Scores," should capture the results of the organization's DPC RAM assessment. DPC RAM is a maturity model that can be used to assess an organization's current digital preservation capabilities and help set targets for increasing those capabilities. A DPC RAM assessment generally takes no more than a couple of hours to complete and can be undertaken by an individual with a broad knowledge of an organization's digital preservation activities or a group of colleagues representing different areas of work.

The assessment involves scoring the organization's digital preservation capabilities against five levels of maturity for 11 areas of activity, as well as setting future target levels for each of those areas. Full details of the model and how to complete an assessment can be found in the Digital Preservation Coalition Rapid Assessment Model guide[4].

Once you have completed the assessment it is straightforward to record the results in the organizational competency audit workbook. The information in the box below summarizes what should be entered into the "RAM Scores" worksheet under each column, and an example of completed rows is presented in Figure 3.

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[4] http://doi.org/10.7207/dpcram21-02

> **The columns in the RAM Scores worksheet should be completed as follows:**
>
> The current and target maturity levels should be entered in numerical form on the "RAM Scores" worksheet in the relevant columns. An example of a completed worksheet is included below in Figure 3. An information table is also included on the worksheet with the textual descriptions for the five maturity levels and the correct numerical value to enter.
> - **Current Level [Column D]:** This is the column where an organization should indicate their current level of maturity corresponding to each RAM section area of activity.
> - **Target Level – Text [Column E]:** This is the column where an organization should indicate their target level of maturity corresponding to each RAM section area of activity.

	RAM Section	Current Level	Target Level		Level Number	Level Description
A	Organizational Viability				0	Minimal Awareness
B	Policy and Strategy				1	Awareness
C	Legal and Ethical				2	Basic
D	IT Capability				3	Managed
E	Continuous Improvement				4	Optimized
F	Community					
G	Acquisition, Transfer and Ingest					
H	Bitstream Preservation					
I	Content Preservation					
J	Metadata Management					
K	Discovery and Access					

Figure 3 - Example of a worksheet with RAM results entered

6.2.2 Entering Staff Skill Levels from Individual Assessments

The next step involves the second worksheet, titled "Staff Skill Levels," which should capture the results from individual skills assessments conducted for each of the members of staff who are within the scope of the organizational competency audit.

This information can be gathered using the Individual Skills Audit process described in Section 5.1. The process requires each staff member to complete the first two columns of the "Audit and Development Planning" worksheet in the Individual Skill Audit workbook. To help ensure consistency across the scoring, you may wish to work with each staff member individually as they complete their assessment or hold a workshop where staff members can complete the process together.

Once you have gathered all the necessary information from the individual skills assessment results, entering them into the organizational competency audit workbook should be straightforward. The information in the box below summarizes what should be entered into the "Staff Skill Levels" worksheet under each column, and an example of a worksheet with data for four members entered is presented in Figure 4.

The Staff Skill Levels worksheet should be completed as follows:

- **Each staff member is allocated a separate column in the worksheet:** Each staff member should be given a separate column in the worksheet to enter their results (Column D, Column E, etc.).
- **Name of Staff Member and Job Title [Row 2 and Row 3]:** Enter the staff member's name and job title in these rows under their respective column.
- **Current Skill Levels [Rows 4 to 30]:** Enter the results from the staff member's individual skills assessment in these rows. These results, which are in numerical form (or 'N/A'), can be copied over from the Individual Skill Audit Excel workbook, by copying the "Current Skill Level – Number" column in the "Audit and Development Planning" worksheet.
- **This process should be repeated for all members of staff**[5].

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[5] The worksheet includes space for auditing up to 50 members of staff. If a larger worksheet is needed, please submit a request to the DPC via the info@dpconline.org email address.

			Hugh Culber	Keyla Detmer	Michael Burnham	Joann Owosekun
		Name of Staff Member (Optional)				
		Job Title (Optional)	**Digital Archivist**	**Digital Collections Officer**	**Digital Program Manager**	**Digital Collections Officer**
Governance, Resourcing, and Management	1	Policy Development	2	N/A	3	N/A
	2	Risk Management	1	N/A	2	0
	3	Resource Management	0	N/A	2	N/A
	4	Staff Management	1	N/A	2	N/A
	5	Strategy and Planning	2	0	3	1
	6	Analysis and Decision-Making	3	2	3	1
Communications and Advocacy	7	Effective Communication	3	2	3	2
	8	Collaboration and Teamwork	3	3	4	2
	9	Stakeholder Analysis and Engagement	1	N/A	1	N/A
	10	User Analysis and Engagement	1	0	0	0
	11	Advocacy	2	1	3	1
	12	Training	1	N/A	2	N/A
	13	Producing Documentation	2	1	1	1
Information Technology	14	General IT Literacy	2	3	2	2
	15	Computer Programming	1	0	1	N/A
	16	System Procurement	0	N/A	3	N/A
	17	Storage Infrastructures	1	1	2	0
	18	Information Security	0	0	1	0
	19	Workflow Development and Implementation	2	0	1	1
Legal and Social Responsibilities	20	Legal and Regularity Compliance	1	0	2	1
	21	Environmental Impact	0	0	1	0
	22	Inclusion and Diversity	1	0	1	1
	23	Ethics	2	0	3	1
Digital Preservation Domain Specific	24	Metadata Standards and Implementation	2	1	2	1
	25	Information Management Principles	3	1	3	0
	26	Approaches to Preservation	1	0	1	0
	27	DP Standards and Models	2	1	3	1
	28	Managing Access	0	0	1	N/A

Figure 4 - Example of individual staff skills entered into the worksheet

6.2.3 Generating and Interpreting the Audit Results

Once the RAM Scores and all of the data from the relevant individual skills audits have been entered into the Organizational Skills Audit workbook, a report on the organizational competencies audit will be automatically generated and available on the "Competency Audit Results" sheet (purple tab).

A summary of the information supplied by the "Competency Audit Results" report is provided in the box below, and an example of a results report is presented in Figure 5.

The Competency Audit Results report supplies the following information:

- **Required Skill Level for Current RAM Maturity [Columns E and F]:** These columns show the skill level for each skill area required to support the current level of RAM maturity. The numerical and text descriptors are included for the skill level.
- **Required Skill Level for Target RAM Maturity [Columns G and H]:** These columns show the skill level for each skill area required to support the target level of RAM maturity. The numerical and text descriptors are included for the skill level.
- **Highest Skill Level [Columns I and J]:** These columns show the highest current skill level for any member of staff for each skill area. The numerical and text descriptors are included for the skill level.
- **Skill Gap for Current RAM [Column L]:** This column identifies the gap between the skill level required to support the current level of organizational capability according to the RAM scores and the highest current skill level identified for any member of staff. The results shown range from "No Gap" (where the highest skill level is greater than or equal to the required skill level) through to "4 Levels" (where the highest skill level is four levels below the required skill level). A traffic light color scheme has been used to highlight where gaps exist between highest skill levels and required skill level, making it easy to quickly identify where skill gaps exist.
- **Skill Gap for Target RAM [Column N]:** This column identifies the gap between the skill level required to support the target level of organizational capability according to the RAM scores and the highest current skill level identified for any member of staff. The results are also displayed as described above for "Skill Gap for Current RAM [Column L]".
- **Count of Staff Scoring Skill [Column O]:** This column lists the total number of staff who provided a skill level score for this skill element.
- **Average Skill Level [Columns P and Q]:** These columns show the average current skill level across the members of staff who have provide a score for each skill area. The numerical and text descriptors are included for the skill level.
- **Skill Gap for Current RAM [Column S]:** This column identifies the gap between the skill level required to support the current level of organizational capability according to the RAM scores and the average skill level across the members of staff who have provide a score for each skill area. The results are displayed as described above for "Skill Gap for Current RAM [Column L]".
- **Skill Gap for Target RAM [Column U]:** This column identifies the gap between the skill level required to support the target level of organizational capability according to the RAM scores and the average skill level across the members of staff who have provided a score for each skill area. The results are displayed as described above for "Skill Gap for Current RAM [Column L]".

Category	#	Skill	Required Skill Level for Current RAM Maturity		Required Skill Level for Target RAM Level		Highest Skill Level		Skill Gap for Current RAM	Skill Gap for Target RAM	Count of Staff Scoring Skill	Average Skill Level		Skill Gap for Current RAM	Skill Gap for Target RAM
Governance, Resourcing, and Management	1	Policy Development	1	Beginner	3	Advanced	3	Advanced	No Gap	No Gap	2	2.5	Intermediate	No Gap	1 Level
	2	Risk Management	2	Intermediate	2	Intermediate	2	Intermediate	No Gap	No Gap	3	1	Beginner	1 Level	1 Level
	3	Resource Management	2	Intermediate	3	Advanced	2	Intermediate	No Gap	1 Level	2	1	Beginner	1 Level	2 Levels
	4	Staff Management	2	Intermediate	2	Intermediate	2	Intermediate	No Gap	No Gap	2	1.5	Beginner	1 Level	1 Level
	5	Strategy and Planning	1	Beginner	3	Advanced	3	Advanced	No Gap	No Gap	4	1.5	Beginner	No Gap	2 Levels
	6	Analysis and Decision-Making	2	Intermediate	3	Advanced	3	Advanced	No Gap	No Gap	4	2.25	Intermediate	No Gap	1 Level
Communications and Advocacy	7	Effective Communication	3	Advanced	3	Advanced	3	Advanced	No Gap	No Gap	4	2.5	Intermediate	1 Level	1 Level
	8	Collaboration and Teamwork	1	Beginner	2	Intermediate	4	Expert	No Gap	No Gap	4	3	Advanced	No Gap	No Gap
	9	Stakeholder Analysis and Engagement	2	Intermediate	3	Advanced	1	Beginner	1 Level	2 Levels	2	1	Beginner	1 Level	2 Levels
	10	User Analysis and Engagement	1	Beginner	2	Intermediate	1	Beginner	No Gap	1 Level	4	0.25	Novice	1 Level	2 Levels
	11	Advocacy	2	Intermediate	3	Advanced	3	Advanced	No Gap	No Gap	4	1.75	Beginner	1 Level	2 Levels
	12	Training	2	Intermediate	3	Advanced	2	Intermediate	No Gap	1 Level	2	1.5	Beginner	1 Level	2 Levels
	13	Producing Documentation	2	Intermediate	3	Advanced	2	Intermediate	No Gap	1 Level	4	1.25	Beginner	1 Level	2 Levels
Information Technology	14	General IT Literacy	2	Intermediate	3	Advanced	3	Advanced	No Gap	No Gap	4	2.25	Intermediate	No Gap	1 Level
	15	Computer Programming	2	Intermediate	3	Advanced	1	Beginner	1 Level	2 Levels	3	0.667	Novice	2 Levels	3 Levels
	16	System Procurement	2	Intermediate	3	Advanced	3	Advanced	No Gap	No Gap	2	1.5	Beginner	1 Level	2 Levels
	17	Storage Infrastructures	2	Intermediate	3	Advanced	2	Intermediate	No Gap	1 Level	4	1	Beginner	1 Level	2 Levels
	18	Information Security	2	Intermediate	3	Advanced	1	Beginner	1 Level	2 Levels	4	0.25	Novice	2 Levels	3 Levels
	19	Workflow Development and Implementation	2	Intermediate	3	Advanced	2	Intermediate	No Gap	1 Level	4	1	Beginner	1 Level	2 Levels
Legal and Social Responsibilities	20	Legal and Regularity Compliance	1	Beginner	2	Intermediate	2	Intermediate	No Gap	No Gap	4	1	Beginner	No Gap	1 Level
	21	Environmental Impact	1	Beginner	2	Intermediate	1	Beginner	No Gap	1 Level	4	0.25	Novice	1 Level	2 Levels
	22	Inclusion and Diversity	2	Intermediate	2	Intermediate	1	Beginner	1 Level	1 Level	4	0.75	Novice	2 Levels	2 Levels
	23	Ethics	1	Beginner	2	Intermediate	3	Advanced	No Gap	No Gap	4	1.5	Beginner	No Gap	1 Level
Digital Preservation Domain Specific	24	Metadata Standards and Implementation	2	Intermediate	3	Advanced	2	Intermediate	No Gap	1 Level	4	1.5	Beginner	1 Level	2 Levels
	25	Information Management Principles	1	Beginner	2	Intermediate	3	Advanced	No Gap	No Gap	4	1.75	Beginner	No Gap	1 Level
	26	Approaches to Preservation	2	Intermediate	3	Advanced	1	Beginner	1 Level	2 Levels	4	0.5	Novice	2 Levels	3 Levels
	27	DP Standards and Models	2	Intermediate	3	Advanced	3	Advanced	No Gap	No Gap	4	1.75	Beginner	1 Level	2 Levels
	28	Managing Access	1	Beginner	2	Intermediate	1	Beginner	No Gap	1 Level	3	0.333	Novice	1 Level	2 Levels

Figure 5 - Example organizational audit results

6.3 Advice: Using the Audit Results

The information displayed in the generated "Competency Audit Results" report worksheet can be used to identify a number of different gaps in skill levels across an organization. Some examples include:

- **If there are too few staff members with a particular skill.** The results in the "Count of Staff Scoring Skill" column can provide a quick reference to the number of staff members with skills in a particular area. This can help identify if there are a sufficient number of staff with those skills or if more staff need opportunities to develop those skills or new staff members hired. The number of staff requiring skills in a particular area will likely differ depending on the type of skill involved. For example, only a few staff members might need skills in staff or resource management, whereas it is likely that all staff will be expected to have effective communication skills.
  - Likewise, comparing the highest skill level with the average skill level might help identify a skill area where only one or a few members of staff have a high skill level and upskilling might be required. This might then present an opportunity for a group development activity and possible team building.
- **If there are gaps between the skills of the staff and those required to support current and/or target organizational digital preservation capabilities.** The traffic light formatting of the skill gap conclusions in Columns L, N, S, and U should make it easy to identify where skill gaps currently exist and where the gaps are the biggest. This can help with decision-making and prioritization around professional development and recruitment. The results can be used as evidence to make the case for additional funding for development or hiring new members of staff.
  - It can be of particular importance to also note where there are large discrepancies between the highest skill level scored and the average skill level, especially with large teams or groups of staff. In this case, it is wise to check if the individual who scored the skill highly is a key contributor to the area of work in question. For example, one member of staff might be an expert in user analysis and scored this skill element highly, but if they work exclusively in preservation planning and the rest of the team is inexperienced in user analysis then staff development will be required.
  - The gaps identified will also help prioritize if there should be a focus on upskilling to meet the requirements of current digital preservation capabilities and the targets that have been set. For example, a four level (the maximum) gap might have been identified between a skill area and a target which may make this seem like a priority, but a one level gap in an

important area where there is only one member of staff with skills could be far more important.

- **Managing the effectiveness of staff development over time.** Repeating the audit at regular intervals (e.g., yearly as part of a performance review process) can help track the impact of development activities over time. If a gap is identified in one audit and development opportunities are then offered to staff, it will be possible to track with another audit if the investment has increased competencies within the organization.

These are just a few examples of how the data might be used; it is hoped that the organization will be able to use the result to support a wide range of workforce development activities.

As mentioned above, it is important to consider when the activity might be repeated. Regular audits will allow the organization to track the development of competencies over time and support increases in digital preservation capabilities in line with DPC RAM targets that have been set. This might be done as part of a formal performance assessment process or to coincide with assessments against DPC RAM.

7. Comments, Review, and Feedback

While digital preservation as a discipline has been developing over the past two decades, it continues to evolve in response to external drivers and fresh challenges. New solutions, ways of working, and examples of good practice will continue to emerge. While we anticipate that the basic competency areas of the DPC's Competency Framework will remain relatively stable, more granular details of the skill elements may change over time. The Competency Framework will be subject to a biannual cycle of review to incorporate developments in the field and in response to feedback from DPC Members and the wider digital preservation community. DPC CAT will be included in that review process to ensure it remains fit for purpose. If you have any suggestions for updates or additions or would like to share your experiences of using DPC CAT and related resources, please email info@dpconline.org.

8. Appendices

8.1 Appendix One: A Blank DPC CAT Worksheet for Auditing an Individual's Skills

Skill Area	No.	Skill Element	Relevant to Role?	Current Skill Level - Number	Current Skill Level - Text	Target Skill Level - Number (optional)	Target Skill Level - Text (optional)	Ideas on How to Increase Skill Level (optional)	Notes (optional)
Governance, Resourcing, and Management	1	Policy Development							
	2	Risk Management							
	3	Resource Management							
	4	Staff Management							
	5	Strategy and Planning							
	6	Analysis and Decision-Making							
Communications and Advocacy	7	Effective Communication							
	8	Collaboration and Teamwork							
	9	Stakeholder Analysis and Engagement							
	10	User Analysis and Engagement							
	11	Advocacy							
	12	Training							
	13	Producing Documentation							
Information Technology	14	General IT Literacy							
	15	Computer Programming							
	16	System Procurement							
	17	Storage Infrastructures							
	18	Information Security							
	19	Workflow Development and Implementation							
Legal and Social Responsibilities	20	Legal and Regulatory Compliance							
	21	Environmental Impact							
	22	Inclusion and Diversity							
	23	Ethics							
Digital Preservation Domain Specific	24	Metadata Standards and Implementation							
	25	Information Management Principles							
	26	Approaches to Preservation							
	27	DP Standards and Models							
	28	Managing Access							

8.2 Appendix Two: A Blank DPC CAT Worksheet for Role Description Comparisons

Skill Area	No.	Skill Element	Relevant to Role?	Related Tasks/ Responsibilities	Included in Current Role Description?	If Included in Current Role Description, How is Skill Described?	Update Required?	Notes
Governance, Resourcing, and Management	1	Policy Development						
	2	Risk Management						
	3	Resource Management						
	4	Staff Management						
	5	Strategy and Planning						
	6	Analysis and Decision-Making						
Communications and Advocacy	7	Effective Communication						
	8	Collaboration and Teamwork						
	9	Stakeholder Analysis and Engagement						
	10	User Analysis and Engagement						
	11	Advocacy						
	12	Training						
	13	Producing Documentation						
Information Technology	14	General IT Literacy						
	15	Computer Programming						
	16	System Procurement						
	17	Storage Infrastructures						
	18	Information Security						
	19	Workflow Development and Implementation						
Legal and Social Responsibilities	20	Legal and Regulatory Compliance						
	21	Environmental Impact						
	22	Inclusion and Diversity						
	23	Ethics						
Digital Preservation Domain Specific	24	Metadata Standards and Implementation						
	25	Information Management Principles						
	26	Approaches to Preservation						
	27	DP Standards and Models						
	28	Managing Access						

8.3 Appendix Three: A Blank DPC CAT Worksheet for Gathering the Results of Individual's Skill Assessments

		Name of Staff Member (Optional)	Name 1	Name 2	Name 3	Name 4
		Job Title (Optional)				
Governance, Resourcing, and Management	1	Policy Development				
	2	Risk Management				
	3	Resource Management				
	4	Staff Management				
	5	Strategy and Planning				
	6	Analysis and Decision-Making				
Communications and Advocacy	7	Effective Communication				
	8	Collaboration and Teamwork				
	9	Stakeholder Analysis and Engagement				
	10	User Analysis and Engagement				
	11	Advocacy				
	12	Training				
	13	Producing Documentation				
Information Technology	14	General IT Literacy				
	15	Computer Programming				
	16	System Procurement				
	17	Storage Infrastructures				
	18	Information Security				
	19	Workflow Development and Implementation				
Legal and Social Responsibilities	20	Legal and Regularity Compliance				
	21	Environmental Impact				
	22	Inclusion and Diversity				
	23	Ethics				
Digital Preservation Domain Specific	24	Metadata Standards and Implementation				
	25	Information Management Principles				
	26	Approaches to Preservation				
	27	DP Standards and Models				
	28	Managing Access				

8.4 Appendix Four: A DPC CAT Organizational Audit Results Page Before Data Has Been Entered

			Required Skill Level for Current RAM Maturity		Required Skill Level for Target RAM Level		Highest Skill Level		Skill Gap for Current RAM	Skill Gap for Target RAM	Count of Staff Scoring Skill	Average Skill Level		Skill Gap for Current RAM	Skill Gap for Target RAM
Governance, Resourcing, and Management	1	Policy Development	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	2	Risk Management	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	3	Resource Management	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	4	Staff Management	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	5	Strategy and Planning	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	6	Analysis and Decision-Making	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
Communications and Advocacy	7	Effective Communication	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	8	Collaboration and Teamwork	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	9	Stakeholder Analysis and Engagement	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	10	User Analysis and Engagement	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	11	Advocacy	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	12	Training	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	13	Producing Documentation	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
Information Technology	14	General IT Literacy	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	15	Computer Programming	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	16	System Procurement	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	17	Storage Infrastructures	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	18	Information Security	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	19	Workflow Development and Implementation	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
Legal and Social Responsibilities	20	Legal and Regularity Compliance	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	21	Environmental Impact	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	22	Inclusion and Diversity	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	23	Ethics	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
Digital Preservation Domain Specific	24	Metadata Standards and Implementation	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	25	Information Management Principles	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	26	Approaches to Preservation	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	27	DP Standards and Models	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored
	28	Managing Access	0	Novice	0	Novice	N/A	Not Scored	Not Scored	Not Scored	0	N/A	Not Scored	Not Scored	Not Scored