Records and Information Management

Core Competencies
Records and Information Management Core Competencies

Education Development Committee
Lenexa, KS
# Table of Contents

Foreword ........................................................................................................................................................................ ii
Acknowledgments .................................................................................................................................................................. iii
Introduction ........................................................................................................................................................................ 1
  Purpose and Scope ......................................................................................................................................................... 1
  What Are Competencies? ............................................................................................................................................... 1
  Why Evaluate One’s Competencies? ............................................................................................................................ 1
  The Competency Development Project ..................................................................................................................... 2
Organization of the Core Competencies .......................................................................................................................... 2
  Competency Levels ....................................................................................................................................................... 3
  Assumptions ................................................................................................................................................................. 3
  Domains ......................................................................................................................................................................... 4
  Tasks, Knowledge, and Skills ....................................................................................................................................... 5
How to Use the Competencies for Self-Evaluation ........................................................................................................ 5
Comprehensiveness ............................................................................................................................................................ 7
Level 1 ............................................................................................................................................................................ 7
  Business Functions ...................................................................................................................................................... 7
  RIM Practices ............................................................................................................................................................... 10
  Risk Management ....................................................................................................................................................... 17
  Communications and Marketing ............................................................................................................................... 18
  Information Technology ........................................................................................................................................... 19
  Leadership ................................................................................................................................................................. 21
Level 2 ............................................................................................................................................................................ 22
  Business Functions ...................................................................................................................................................... 22
  RIM Practices ............................................................................................................................................................... 26
  Risk Management ....................................................................................................................................................... 32
  Communications and Marketing ............................................................................................................................... 35
  Information Technology ........................................................................................................................................... 36
  Leadership ................................................................................................................................................................. 38
Level 3 ............................................................................................................................................................................ 39
  Business Functions ...................................................................................................................................................... 39
  RIM Practices ............................................................................................................................................................... 46
  Risk Management ....................................................................................................................................................... 53
  Communications and Marketing ............................................................................................................................... 59
  Information Technology ........................................................................................................................................... 61
  Leadership ................................................................................................................................................................. 63
Level 4 ............................................................................................................................................................................ 66
  Business Functions ...................................................................................................................................................... 66
  RIM Practices ............................................................................................................................................................... 70
  Risk Management ....................................................................................................................................................... 71
  Communications and Marketing ............................................................................................................................... 75
  Information Technology ........................................................................................................................................... 76
  Leadership ................................................................................................................................................................. 77
Glossary ............................................................................................................................................................................. 83
About ARMA International ............................................................................................................................................... 88
Foreword

ARMA International has developed the Core Competencies for the Records and Information Management (RIM) Profession that define the knowledge and skills needed to perform successfully in the profession. RIM professionals can use the competencies and the related self-assessment tool to identify their proficiency in each of six defined domains.

The Core Competencies represents a key component of ARMA’s commitment to define and develop the Records and Information Management profession.

This material was developed under procedures designed to ensure a large, balanced representation of contributors and reviewers at all levels of expertise, in all domains, and from a variety of industries. Although the procedures ensure the highest degree of care, ARMA, its members, and those participating in its activities do not accept any liability resulting from compliance or noncompliance with the provisions given herein, for any restrictions imposed on materials or processes, or for the completeness of the text. ARMA has no power or authority to police or enforce compliance with the contents of this document. Any certification or product stating compliance with requirements of this document is made at the peril of the certifier.

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**Acknowledgments**

The ARMA International *Records and Information Management Core Competencies* was developed by the Core Competencies Working Group established by ARMA's Education Development Committee (EDC). The EDC enlisted the assistance of many experienced records and information management professionals in order to bring the Core Competencies to life with meaningful and applicable results. The two-year development process included the input of a 15-member writing team, 40 RIM subject matter experts who created the initial draft, 300 subject matter experts who completed a validation survey and participated by reviewing, editing, and commenting on the Core Competencies.

ARMA International gratefully acknowledges the contributions provided by the following individuals who were instrumental in the development of the Core Competencies.

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Introduction

Purpose and Scope

Records and Information Management Core Competencies are a component of an overall and ongoing Competency initiative by ARMA that also will include in 2008 a self-assessment tool designed for use by RIM practitioners in charting their career development.

The Core Competencies are dynamic and will be continually evaluated for relevancy. While this initial version is U.S.-focused, future plans call for obtaining international input that will universalize the competencies to the extent possible. In addition, and in recognition that RIM competencies can be industry-specific, competencies will be developed that address unique requirements by industry.

The expectation is that the Core Competencies will be helpful to others beyond RIM practitioners. It should be a useful resource to human resource professionals, IT peers and partners, executive-level management, policy-makers, product developers and the vendor community, educational institutions, and certifying entities, as well as other information professionals.

The Core Competencies may complement the course of study for the 6-part certification exam offered by the Institute of Certified Records Managers. However, it should not be construed as a single study aid for the Certified Records Manager exam and is, as noted above, intended to be a resource for a much wider audience.

What Are Competencies?

Competencies are defined as the knowledge, skills, characteristics, or traits that contribute to outstanding performance in a particular profession. They are described in a way that they can be observed, measured, and rated. Competencies move the focus from "what" an employee must accomplish (defined in the typical job description) to "how" the employee accomplishes the required tasks.

When a series of competencies are organized together, it is called a competency model. A competency model differentiates between entry level and expert level performance for a specific profession. Competencies create a common bond of understanding and a common language for discussing performance requirements. They also may be used to design and develop training and educational programs, position descriptions, and performance evaluation instruments.

Why Evaluate One’s Competencies?

At an organizational level, competency-based human resource programs can provide benefits in the areas of:

- hiring and selection,
- performance feedback and management,
- training and development,
- career development, and
- succession management.

From an individual perspective, using competencies can help to:

- Identify gaps between present knowledge and skill sets and those required for excellent performance within the current job or for advancement to the next job level.
- Effectively discuss your performance, career aspirations, and development needs with your supervisor.
• Create a professional development plan to excel in your job, your organization, and your profession.
• Identify educational resources to address areas of personal need.

The Competency Development Project
The inception of this version of the competencies began at the RIM Job Task Analysis Meeting with over forty RIM professionals of varied expertise. After four days of intense interchange, the raw data from that networking session was turned over to the Education Development Committee (EDC) of ARMA International for comparison to other related competencies and resources, and repeated organizing and refining until the content was ready to be vetted by RIM practitioners. A survey instrument was distributed to a large sample group of RIM and other information practitioners to validate the contents of the existing version of the competencies. Each and every survey comment related to content was examined by the EDC and appropriately addressed. Finally, compilation and formatting have been applied and the Core Competencies are the resulting product. Regardless of how you approach the ARMA RIM Competencies, we on the EDC hope that you will find them a useful resource and tool.

Organization of the Core Competencies
This Core Competencies are organized by competency level and performance domain:

• Levels: Reflect the amount of knowledge or experience a person has relevant to a specific topic or skill-set—regardless of time in the profession. The competencies are divided into four levels, ranging one to four, and are intended to represent a progression of responsibilities from the entry-level practitioner to the executive-level professional.

• Domains: Groups or categories of competencies in a particular performance area that are the major responsibilities or duties that make up the profession. There are six domains used in the Core Competencies: Business Functions, RIM Practices, Risk Management, Communications and Marketing, Information Technology, and Leadership.

The Core Competencies are organized by competency level and domain. Within each domain are task statements. Following each task are statements identifying the knowledge and skills required in order to perform the task competently.

The four levels are outlined hierarchically and the design is intended to acknowledge how knowledge and skill sets increase from entry to executive level positions. However, the task statements outlined within the levels and domains do not indicate significance simply because one is listed before or after another.

Certain knowledge and skills may appear in multiple tasks throughout the Core Competencies. For instance, effective communication skills are necessary for reporting, mentoring, advocacy, etc. within all domains and levels.

There was a purposeful decision not to use specific job titles in defining the levels in acknowledgement that the scope of the levels and position titles will vary within organizations. It is also recognized that particular knowledge and skill requirements will vary within organizations, thus the competencies should not be used as a job description. Variances for positions may be influenced by a variety of factors, including organization size and complexity, lines of reporting, nature of the business, industry sector, organizational culture, and global operations. However, components of the competencies can be used to create organization-specific job descriptions.

Realistically, an individual may not demonstrate all of the knowledge and skills at one level before progressing to the next. The structure and goals of the organization need to be considered in determining whether a particular knowledge or skill is relevant. These core competencies include the leading edge RIM knowledge and skills required within a domain and level and also include knowledge and skills from related areas such as IT and general management. Each progressive level assumes competence in the levels before it within the domain.
**Competency Levels**

The Core Competencies are divided into four competency levels:

**Level 1:** This level RIM practitioner is defined as holding an entry-level position in the RIM profession requiring no previous RIM experience. Participants at this level should be acquiring basic, foundational knowledge and skills for the RIM field and have a basic understanding of what records and information management encompasses. A person at this level may or may not have an undergraduate degree or work experience in another field.

**Level 2:** This level RIM practitioner will have prior RIM knowledge, skills, and experience. At this level, the person understands more than the basic techniques and technologies, has managed or developed records management projects, and has knowledge of information management lifecycle concepts. In addition, the practitioner may be developing specialty skills (e.g., analysis, auditing, warehousing, and application technologies) and may also have experience supervising other RIM staff. Practitioners at this level generally hold an undergraduate degree, usually in a RIM-related field.

**Level 3:** This level RIM practitioner is a seasoned practitioner who has worked at the enterprise level of an organization and will possess extensive knowledge of the design, creation, implementation, and management of a records management program and staff. This level of practitioner looks to high-level experts for best practices, advanced techniques, or technology innovations to learn and grow in the field. Practitioners at this level generally hold advanced degrees and/or appropriate certifications.

**Level 4:** This level RIM practitioner is at the executive level, making strategic decisions, partnering with organizational executive management, and giving enterprise direction to RIM program staff and program users. Practitioners at this level frequently hold advanced degrees and appropriate certifications. For personal growth, continuing education focuses on business strategy, change management, business policies, leading teams, and collaborations and partnerships.

**Assumptions**

The RIM Core Competencies were developed with the following assumptions in business operational skills.

It is assumed that practitioners at Level 1 can demonstrate:

1. Basic computational skills
2. Basic, legible writing skills
3. Basic keyboarding skills
4. Reading comprehension
5. The ability to follow directions and procedures

It is assumed that practitioners at Level 2 should be able to:

1. Apply percentages and ratios to numerical data that may be collected
2. Compare growth and decreases in numerical data between defined periods of time
3. Respond in writing to requests for information
4. Demonstrate advanced keyboarding and data entry skills
5. Demonstrate basic skills with office suite products, RIM software applications, and databases
6. Successfully conduct simple, efficient information searches
7. Demonstrate basic project management skills

It is assumed that practitioners at Level 3 should be able to:

1. Develop, submit, and adjust a budget and monitor expenditures
2. Convert numerical data into chart and graph formats
3. Demonstrate problem-solving techniques
4. Perform research and present results in an appropriate format (chart, report, narrative)
5. Demonstrate proficiency with office suite products, RIM software applications, and databases
6. Successfully conduct complex, efficient information searches
7. Implement RIM systems

It is assumed that practitioners at Level 4 should be able to:
1. Conduct surveys and validate analysis and results
2. Interpret complex data and evaluate independent studies and results
3. Use data sets to perform and analyze research
4. Demonstrate usage of language and vocabulary including professional terminology and jargon
5. Present and engage in discourse with peers and business professionals
6. Propose RIM systems
7. Develop and lead RIM program strategy and advocacy

Domains
The Core Competencies are organized within each level by domains (groups or categories of competencies in a particular performance area), which define the major responsibilities or duties within the profession. The domains exist in varying degrees at all competency levels.

The six competency domains are:

- **Business Functions**: This domain pertains to the knowledge and skills necessary to administer, implement, or maintain the non-RIM specific functions an organization performs, or needs to perform, to achieve its objectives. Examples of business functions include the supervision of RIM staff, budgeting, providing customer service, identifying and mapping work processes, providing input to management, and strategic planning.

- **RIM Practices**: This domain pertains to the knowledge and skills required to systematically manage records and information from creation or receipt through processing, distribution, organization, storage and retrieval, and ultimate disposition. Information is a vital organizational resource, and organizations depend on accurate, readily available information to assist in management decision-making, provide litigation support, improve organizational efficiency, document compliance with legislative and regulatory requirements, and to provide historical reference.

- **Risk Management**: This domain pertains to the knowledge and skills necessary to proactively mitigate and manage the potential for damage to or loss of records and information. Two risk management components—risk analysis, which identifies the probabilities that records and information will be damaged or lost, and risk assessment, which examines known or anticipated risk to records and information—are key concepts to systematically controlling the level of risk exposure of an organization. Additional risk management components from an operational perspective are business continuity and disaster preparedness and recovery.

- **Communications and Marketing**: This domain pertains to the knowledge and skills necessary to effectively exchange thoughts, messages, or information by speech, writing, or behavior and to effectively champion the benefits of a RIM program within an organization. The Communications and Marketing domain is vital to developing successful business relationships to maximize RIM support and compliance, and promote the value of RIM principles and best practices.

- **Information Technology**: This domain pertains to the knowledge and skills necessary to develop, maintain, and use information processing systems, software applications, and supporting hardware and networks for the processing and distribution of data. Examples of information technology tasks in this context include the RIM software application selection process, reprographics and imaging equipment, establishing requirements for IT related to managing electronic repositories, and the identification of emerging
Introduction

technologies. As RIM is operating in an increasingly electronic and digital environment, appropriate knowledge and skills in relevant aspects of information technology are critical for RIM professionals at all competency levels.

- **Leadership:** This domain pertains to the knowledge and skills necessary to motivate groups of people toward the achievement of the RIM program goals within the context of the organization’s overall goals. Effective leaders must positively influence others by using leadership skills such as guiding, motivating, and mentoring; and interpersonal skills such as empathy and sensitivity.

**Tasks, Knowledge, and Skills**

Within the Core Competencies, task statements are defined for each level and domain combination. Each task statement addresses a specific work activity. In general, task statements answer the following questions:

- What activity is performed?
- To whom or at what is the activity directed?
- How is the activity accomplished?
- Why is this activity performed?

Taken together, task statements offer a comprehensive view of the work activities that comprise the domains at each level.

Following each task are statements identifying the knowledge and skills required to perform the task competently. Knowledge statements are learned factual or procedural information that support the ability to perform the task statement. A skill embodies observable, quantifiable, and measurable performance parameters that involve physical, verbal, or mental manipulation of data, people, or objects.

Knowledge and skills are the elements that together demonstrate competency of a specific task statement. Mastery of tasks within a particular domain and level is needed to advance to the next level of domain specialty. Within a particular organization, mastery in several domains at a level is necessary for advancement to the next level.

**How to Use the Competencies for Self-Evaluation**

To most effectively use the Core Competencies for self-evaluation, follow these steps:

1. Identify which of the four Levels best reflects your current job responsibilities.
2. Identify which of the six Domains are relevant to your current job and organization. More than one Domain will most likely apply.
3. Review all of the Task statements at the Level and Domains that you have identified as matching your current job requirements. Select any Tasks within that Level/Domain combination that are relevant to the performance of your job.
4. For each Knowledge and Skill statement for the Tasks that you have selected, assess your current level of performance on a pre-defined scale. A suggested scale would be: little or no proficiency, low proficiency, moderate proficiency, high proficiency, or complete proficiency.
5. For all items where you rate yourself as little or no proficiency or low proficiency, identify methods for improving that Knowledge or Skill. Such methods could include formal education, training programs or courses, on-the-job training, mentoring, or specific job assignments that allow you to grow or stretch your skills. You may want to consult with your supervisor, colleagues at the same or more advanced levels, your Human
Resources or Training departments, or use resources from professional organizations such as ARMA International.

6. Consolidate the identified improvement methods into a professional development plan with specific goals and timelines. Review your plan with your supervisor and solicit his/her help in providing opportunities for on-the-job training and "stretch" assignments and support for taking any identified training programs.

7. Reassess your competency level at least once a year and update your personal development plan. You should be able to use your assessment to demonstrate continuous performance improvement to your supervisor. Completion of certain training programs or demonstrated job experience could qualify you for professional certifications.
Level 1: This level RIM practitioner is defined as holding an entry-level position in the RIM profession requiring no previous RIM experience. Participants at this level should be acquiring basic, foundational knowledge and skills for the RIM field and have a basic understanding of what records and information management encompasses. A person at this level may or may not have an undergraduate degree or work experience in another field.

Domain: Business Functions

Business Functions: This domain pertains to the knowledge and skills necessary to administer, implement, or maintain the non-RIM specific functions an organization performs, or needs to perform, to achieve its objectives. Examples of business functions include the supervision of RIM staff, budgeting, providing customer service, identifying and mapping work processes, providing input to management, and strategic planning.

Provide input to management based on current and projected workload. (010101)

Knowledge of: Skills:
- Organizational policies and procedures
  - Identify, compile, sort, organize, and record appropriate data
  - Communicate results and findings effectively

Identify, document, and provide input to management related to business processes to improve the quality of the RIM program. (010102)

Knowledge of: Skills:
- Daily routine and task assignments
  - Basic RIM principles
  - RIM best practices
  - Basic written communication
  - Communicate the task sequence of RIM processes effectively

Provide input to management regarding needs for more effective facility layout to improve information processing and delivery. (010103)

Knowledge of: Skills:
- Daily routine and task assignments
  - Basic RIM principles
  - RIM best practices
  - Communicate the task sequence of RIM processes effectively

Inform management of issues that have an impact on RIM compliance and program performance. (010104)

Knowledge of: Skills:
- Compliance requirements
  - Internal and external business customers and stakeholders
  - Communicate effectively with RIM stakeholders verbally and in writing
  - Prepare reports

Collect and provide transactional data as required to support the management of budget and expenditures. (010105)

Knowledge of: Skills:
- Cost-effective work methods
  - Applicable software and financial spreadsheets
  - Collect data for budget and input information
  - Collect data and documentation for submission, according to department procedures
Process incoming information and documents using appropriate technology and equipment.  
(010106)

**Knowledge of:**
- Alpha/numeric filing conventions
- Distribution requirements
- Security practices for processing incoming information

**Skills:**
- Sort information for distribution
- Coordinate special deliveries
- Consolidate information for common delivery points

Track procedures for internal reference materials, which may include standards, technical reports, research papers, and digital resources.  
(010107)

**Knowledge of:**
- Basic procurement methodology
- Communications with outside organizations to arrange for inter-agency transfer
- Inventory management and maintenance procedures for tracking holdings
- Database management for repository cataloging

**Skills:**
- Locate and order reference materials
- Place purchase orders and track status
- Communicate appropriately for the task verbally and in writing
- Track and monitor holdings in circulation
- Manage repository holdings
- Use database/records/repository management systems for inputting and reporting
- Apply barcode, RFID, or other tracking mechanisms

Collect and provide information to support records compliance audits.  
(010108)

**Knowledge of:**
- Audit and compliance procedures
- RIM program, policy, practices, procedures, and documentation

**Skills:**
- Identify and locate records required to complete compliance audit

Validate integrity of accessioned records using established quality control procedures to verify completeness/thoroughness of the records (check creation date, originator, and file name to validate records’ content).  
(010109)

**Knowledge of:**
- Accession procedures and processes
- Information organization
- Record series classifications
- RIM program metadata requirements

**Skills:**
- Analyze and organize data
- Confirm thoroughness of records and report findings

Confirm and verify data in the RIM software application according to established procedures.  
(010110)

**Knowledge of:**
- Data-input techniques
- Information proofing techniques
- Applicable software

**Skills:**
- Control data quality
- Assess, analyze, and correct data in line with RIM program best practices and requirements
**Monitor the filing and/or retention of document versions for core business processes according to organization policy. (010111)**

**Knowledge of:**
- Version-tracking technology and mechanisms
- Policies for version management
- Capture and backup processes for version management

**Skills:**
- Capture metadata
- Organize and classify records

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**Collect and provide transactional data (e.g., expenses, expenditures) as requested related to procurement initiatives and decisions to support the management of budget and expenditures. (010112)**

**Knowledge of:**
- Cost-effective work methods
- Applicable software and financial spreadsheets
- Information sources, including cost reports, budgets, prior expenditure data

**Skills:**
- Collect data for budget and input information
Level 1: RIM Practices

Domain: RIM Practices

RIM Practices: This domain pertains to the knowledge and skills required to systematically manage records and information from creation or receipt through processing, distribution, organization, storage and retrieval, and ultimate disposition. Information is a vital organizational resource, and organizations depend on accurate, readily available information to assist in management decision-making, provide litigation support, improve organizational efficiency, document compliance with legislative and regulatory requirements, and to provide historical reference.

Gather statistical data (records management metrics) to support project requests. (010201)

Knowledge of:
- Enterprise-wide, organizationally used applications
- Content and format of data used in applications
- Information collection methods

Skills:
- Identify, compile, sort, organize, and record appropriate data
- Use relevant organizationally supported applications
- Identify exceptions and flag them
- Report results and findings

Perform basic records center operations in accordance with established RIM procedures. (010202)

Knowledge of:
- Record center operations
- Facility and work safety practices
- Record center equipment and machinery
- Computer applications that support inventory management
- Destruction practices for specific media types
- Best practices and specifications

Skills:
- Physically manage boxes
- Enter inventory data
- Operate equipment and machinery
- Complete licensing certification for equipment/machinery operation
- Generate reports

Demonstrate proficiency in the use of RIM technologies to support deployment and training of end users. (010203)

Knowledge of:
- RIM technologies
- Training methodologies and techniques

Skills:
- Respond to questions from end users or redirect to subject matter experts (SME)
- Demonstrate proficiency with deployed RIM technologies
- Communicate appropriately for the task verbally and in writing

Provide subject matter expertise in developing specific task instructions to enable users to follow established RIM procedures. (010204)

Knowledge of:
- Daily routine and task assignments
- Basic RIM principles
- RIM best practices

Skills:
- Communicate appropriately for the task verbally and in writing
- Communicate the task sequence of RIM processes effectively
### Assist with reviewing the RIM forms inventory so it is current and consistent with organizational needs. (010205)

**Knowledge of:**
- Forms management programs and practices
- Use of forms and user requirements
- RIM program requirements with respect to forms management

**Skills:**
- Apply procedure for updating forms inventory
- Notify forms users of obsolete forms

### Create, distribute, and maintain documents in accordance with organizational procedures. (010206)

**Knowledge of:**
- Enterprise hardware and software
- Reprographic options, procedures, and processes
- Documentation styles, templates, and guidelines
- Filing practices and rules
- Organizational policies and procedures

**Skills:**
- Write, proofread, and edit documents
- Identify, compile, and sort data
- Communicate appropriately for the task verbally and in writing

### Classify and process records according to RIM procedures so related records are linked and retrievable and meet organizational compliance requirements. (010207)

**Knowledge of:**
- Accepted classification structures and taxonomies
- Legacy and current systems in which records are managed
- Migration methodology and strategy
- Organizational classification systems
- Organizational structure and functions
- Compliance requirements
- Records retention policy, procedures, and schedules

**Skills:**
- Think analytically
- Solve problems
- Provide customer service

### Process records involved with mergers, acquisitions, divestitures, and reorganizations by applying classification and taxonomy schemes so records are handled using established controls and processes. (010208)

**Knowledge of:**
- Organizational structure
- Records inventory process
- Basic records appraisal principles
- Vital records classification of all involved organizations
- Basic RIM principles
- Database programs and appropriate forms
- Applicable software
- Terminology used in records classification, taxonomies, and schemas
- Diagramming methods

**Skills:**
- Think analytically
- Organize and analyze collected data
- Solve problems
- Communicate appropriately for the task verbally and in writing
- Provide customer service
- Recognize conflicting data prior to data entry
### Provide assistance and make suggestions in using controlled vocabulary (e.g., thesauri, taxonomies).  
**Knowledge of:**
- Role and purpose of thesauri in RIM systems
- Organizational RIM environment
- Organizational terminology

**Skills:**
- Communicate benefits of using controlled vocabulary
- Train others in use of controlled vocabulary
- Identify need for changes to controlled vocabulary

### Perform assigned data entry to populate RIM software according to established procedures.

**Knowledge of:**
- Applicable software
- Terminology used in records classification, taxonomies, and schemas

**Skills:**
- Think analytically
- Enter data accurately
- Proof work product
- Recognize conflicting data prior to entry
- Analyze and evaluate data

### Perform imaging, digitizing, and microfilming activities in support of the RIM program and project objectives by following established procedures.

**Knowledge of:**
- Imaging software and procedures
- Operation and maintenance of imaging hardware
- Imaging process procedures
- Media for appropriate preparation and set-up
- Regulations and compliance requirements
- Quality-control procedures for image validation
- Preparation requirements for source documents
- Menu systems used for data capture during entry
- Applicable industry standards for quality

**Skills:**
- Solve problems
- Manage time/multitask
- Capture information accurately
- Use imaging software and equipment
- Collect information for data entry (indexing) to describe images
- Verify quality of images during capture
- Verify all images in a batch are captured
- Prepare documents properly for “batch” capture
- Communicate effectively with systems staff verbally and in writing

### Perform file maintenance tasks including interfiling and applying tracking or identifying labels to maintain the records and information repository integrity.

**Knowledge of:**
- Filing procedures
- Terminology used in records classifications, taxonomies, and schemas
- Operation of equipment used in the process

**Skills:**
- Apply labels
- Manage time
- Operate equipment used in file maintenance
Respond to specific requests by searching, locating, retrieving, and delivering records or information through established procedures and delivery systems in a timely manner. (010213)

**Knowledge of:**
- Taxonomies
- RIM best practices
- Basic RIM principles
- Record retrieval and user service provision principles and practices
- RIM program policies and procedures
- Organizational requirements regarding record security, classification, and access
- Recording research principles and strategies

**Skills:**
- Locate and retrieve using physical/manual search skills
- Communicate appropriately for the task verbally and in writing
- Use RIM program systems to identify and located records
- Document record use

Control physical inventory by identifying and correcting discrepancies to ensure the availability of data for business and regulatory use. (010214)

**Knowledge of:**
- Organizational policies and procedures
- Filing procedures and tracking systems
- Operating practices and procedures of RIM function

**Skills:**
- Communicate appropriately for the task verbally and in writing
- Think analytically
- Solve problems
- Work in teams
- Provide customer service

Identify duplicate records within and across media by reviewing workflow and current practices. (010215)

**Knowledge of:**
- Theory and practice of duplicate creation and management
- RIM program requirements, policy, and procedures with respect to duplicate management

**Skills:**
- Monitor and analyze findings to identify problems and non-compliance issues
- Comply with duplicate management procedures
- Report of records duplication issues and provide suggestions for solution

Register/accession records according to organizational/RIM procedures to begin the records management process. (010216)

**Knowledge of:**
- Records registering/accessioning principles and techniques
- Organizational RIM program requirements and procedures with respect to record registration/accessioning

**Skills:**
- Accession records, groups of records, and record systems according to RIM program procedures
### Perform functions required to consolidate or close files in accordance with established RIM procedures.  (010217)

**Knowledge of:**
- Program review and analysis
- Repository (electronic) processes
- Inventory (physical) processes
- Classification system
- Filing methods
- Creator/user requirements
- RIM policies and procedures

**Skills:**
- Identify issues arising from the procedural review
- Provide policy and guidelines recommendations to management

### Conduct components of a records inventory by gathering data, surveying the organization, and reviewing business processes as directed.  (010218)

**Knowledge of:**
- Basic records inventory processes
- Basic RIM principles
- Basic records appraisal principles
- Vital records classification
- Database programs and appropriate forms
- RIM tracking/management applications used by organization

**Skills:**
- Analyze collected information
- Work under limited direction

### Assist in the appraisal and analysis of recorded information for retention purposes.  (010219)

**Knowledge of:**
- Classification schemes and record series used in retention scheduling
- RIM program and all of its components
- Organizational collection policy and practices
- Current repository holdings
- Structure or records retention schedule

**Skills:**
- Think analytically
- Organize and analyze collected data

### Perform assigned tasks supporting the implementation of the organization’s approved retention schedule.  (010220)

**Knowledge of:**
- Organization retention policy and procedures
- Disposition methods appropriate for various types of records
- Destruction procedures
- Organizational security and privacy policies and procedures
- Current legal hold notification process
- Business resumption process

**Skills:**
- Physically manage boxes
- Operate destruction equipment
- Identify conflicting task instructions and notify management
- Verify appropriateness of authorization
- Provide customer service
- Collect metrics for status report
- Pull, delete, and shred documents
### Perform assigned tasks that support the organization’s legal hold process. (010221)

**Knowledge of:**
- Organization retention policy and procedures
- Organizational security and privacy policies and procedures
- Current legal hold notification process
- Business resumption process

**Skills:**
- Manage physical boxes
- Identify conflicting task instructions and notify management
- Verify appropriateness of authorization
- Provide customer service
- Collect metrics for status report

### Dispose of records in accordance with RIM policies and procedures to meet the compliance requirements of the organization. (010222)

**Knowledge of:**
- Retention scheduling principles/practices
- Destruction methods and procedures appropriate for various types of records
- Security and privacy requirements that affect the destruction of records and when special requirements apply
- Archival policies and practices for the organization
- Destruction equipment (e.g., shredders, pulverizers)

**Skills:**
- Think analytically
- Solve problems
- Operate destructive equipment
- Communicate effectively with stakeholders verbally and in writing

### Protect archival records by monitoring environmental controls and following established procedures to control access. (010223)

**Knowledge of:**
- Media-specific preservation practices
- Environmental controls and industry standards (e.g., fire suppression, temperature, relative humidity)
- Building access and security policy

**Skills:**
- Monitor and maintain environmental equipment

### Audit records for internal RIM compliance. (010224)

**Knowledge of:**
- RIM systems, policies, and procedures
- In-house audit procedures
- Quality-control procedures

**Skills:**
- Collect and assess qualitative and quantitative data

### Comply with records security classification policy and procedures. (010225)

**Knowledge of:**
- RIM program security classification policy and procedures
- Organizational security policies and procedures

**Skills:**
- Evaluate records in accordance with security classification procedures
- Communicate records security and security classification incidents to management
- Communicate policy and practice of security classification regime to RIM stakeholders
Retrieve vital records to support resumption of business activities. (010226)

**Knowledge of:**
- Disaster and recovery planning best practices
- Organizational disaster recovery plan and specific assignments
- Recovery techniques and vendors
- Vital records program and practices

**Skills:**
- Communicate effectively with stakeholders or business customers verbally and in writing
- Follow plan and use initiative as required
**Domain: Risk Management**

**Risk Management:** This domain pertains to the knowledge and skills necessary to proactively mitigate and manage the potential for damage to or loss of records and information. Two risk management components—risk analysis, which identifies the probabilities that records and information will be damaged or lost, and risk assessment, which examines known or anticipated risk to records and information—are key concepts to systematically controlling the level of risk exposure of an organization. Additional risk management components from an operational perspective are business continuity and disaster preparedness and recovery.

**Support the security of records by following organizational policy.** (010301)

**Knowledge of:**
- RIM security principles and practice
- Organizational/RIM security requirements, policies, and procedures

**Skills:**
- Provide customer service to contribute to the security of the records
- Adhere to RIM security procedures
- Verify requestors’ security credentials

**Follow established procedures to protect the integrity and authenticity or records.** (010302)

**Knowledge of:**
- Security and access controls
- Data-quality practices and conventions
- Confidentiality requirements

**Skills:**
- Enter and proof metadata
- Handle and transport confidential records

**Participate in disaster recovery planning to provide the availability of and access to organizational records and information following a business disruption.** (010303)

**Knowledge of:**
- Organizational disaster recovery plan and specific assignments
- Recovery techniques and vendors
- Vital records management principles
- Vital records program and practices

**Skills:**
- Communicate effectively with stakeholders or business customers verbally and in writing
- Follow plan and use initiative as required

**Participate in disaster recovery drills as directed in accordance with the organization’s disaster recovery plan.** (010304)

**Knowledge of:**
- Organizational disaster recovery plan and specific assignments
- Recovery techniques

**Skills:**
- Respond to problems in a crisis situation
- Work under extreme time constraints and conditions
- Communicate appropriately for the task verbally and in writing
- Follow plan and use initiative as required
- Prioritize tasks

**Collect metrics on compliance audits and present results to management.** (010305)

**Knowledge of:**
- Basic auditing processes

**Skills:**
- Collect metrics
- Communicate appropriately for the task verbally and in writing
**Communications and Marketing:** This domain pertains to the knowledge and skills necessary to effectively exchange thoughts, messages, or information by speech, writing, or behavior and to effectively champion the benefits of a RIM program within an organization. The Communications and Marketing domain is vital to developing successful business relationships to maximize RIM support and compliance, and promote the value of RIM principles and best practices.

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• RIM processes and services offered</td>
<td>• Communicate appropriately for the task verbally and in writing</td>
</tr>
<tr>
<td>• Organizational operation and structure</td>
<td>• Provide customer service</td>
</tr>
<tr>
<td>• Organizational and RIM-related services</td>
<td>• Treat customers and co-workers with dignity, respect, and fairness</td>
</tr>
<tr>
<td>• RIM team’s expertise</td>
<td>• Solve problems</td>
</tr>
<tr>
<td>• Interpersonal intelligence</td>
<td></td>
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</tbody>
</table>

Communicate and interact with customers to provide effective customer service. (010401)
### Domain: Information Technology

**Information Technology:** This domain pertains to the knowledge and skills necessary to develop, maintain, and use information processing systems, software applications, and supporting hardware and networks for the processing and distribution of data. Examples of information technology tasks in this context include the RIM software application selection process, reprographics and imaging equipment, establishing requirements for IT related to managing electronic repositories, and the identification of emerging technologies. As RIM is operating in an increasingly electronic and digital environment, appropriate knowledge and skills in relevant aspects of information technology are critical for RIM professionals at all competency levels.

#### Provide input as appropriate for selecting software to best support the RIM program. (010501)

**Knowledge of:**
- IT platform/structure and applications
- Terminology used in records classification, taxonomies, and schemas
- End user needs / expectations for application when performing searches
- Basic RIM principles
- RIM program requirements

**Skills:**
- Communicate appropriately for the task verbally and in writing
- Compare and analyze software products
- Analyze and evaluate software products for information

#### Migrate data and/or media (whether analog or digital) by following approved procedures that address the elements of data accessibility and authenticity. (010502)

**Knowledge of:**
- Data quality value, conventions, and procedures
- Processes to verify and validate accurate transfers (e.g., bit parity check)
- Operating systems and relevant software for migration
- Security and access controls
- Requirements for converting information from one medium to another

**Skills:**
- Follow established data entry and normalization conventions
- Validate the quality and consistency of metadata values

#### Review and update data to increase efficiency of the record repository and perform data normalization, cleanup, and reconciliation activities. (010503)

**Knowledge of:**
- Data quality value and procedures
- Applicable software

**Skills:**
- Follow established data entry and normalization conventions
- Analyze data quality to identify discrepancies

#### Provide reprographics/micrographics/imaging services as directed. (010504)

**Knowledge of:**
- Equipment operations and maintenance
- Techniques used for image capture
- Evaluation and preparation techniques for source documents
- Quality control and auditing procedures
- Time required to process batches of information

**Skills:**
- Operate equipment
- Evaluate product for quality assurance
- Report project status to customers
### Support RIM technology applications. (010505)

**Knowledge of:**
- RIM program
- RIM technologies
- Customer relationship management

**Skills:**
- Communicate appropriately for the task verbally and in writing
- Interpret operating procedures and manuals for help desk and other support functions
- Refer clients’ advanced questions to subject matter experts (SME)
- Track questions submitted to subject matter experts (SME)
- Collect metrics using established procedures to report on help desk service and other support functions

### Demonstrate ability to utilize technology effectively in support of RIM program. (010506)

**Knowledge of:**
- Use of computer-based tools
- Use of application program interfaces
- Typical office productivity software (e.g., MS Office suite or similar open source products)
- Command syntax for routinely used applications
- Importance of accurately performing work to meet objectives

**Skills:**
- Use software to achieve work objectives
- Use input and output devices
- Document and record information
- Identify and locate information using available technology
- Perform routines tasks in order required
- Manage time
- Categorize and organize information
- Organize and prioritize work
- Pay attention to detail and accuracy
- Identify and correct data entry errors
- Store documents in proper locations
- Perform basic maintenance of equipment (e.g., adding ink, toner, paper; clearing jams)
Domain: Leadership

Leadership: This domain pertains to the knowledge and skills necessary to motivate groups of people toward the achievement of the RIM program goals within the context of the organization’s overall goals. Effective leaders must positively influence others by using leadership skills such as guiding, motivating, and mentoring; and interpersonal skills such as empathy and sensitivity.

Maintain quality and effectiveness when experiencing changes in assigned tasks, work environment, or conditions affecting the organization. (010601)

Knowledge of:
- Organizational change
- Organizational environment and culture
- Organizational policies and procedures
- Conflict management styles and strategies

Skills:
- Adapt behavior and work methods to change
- Communicate positively with staff about change
- Cooperate and collaborate during change

Recognize conflicts and manage relationships. (010602)

Knowledge of:
- Effects of conflict
- Cross-cultural considerations in dealing with conflict
- Conflict management styles and strategies
- Personality types

Skills:
- Listen actively to facilitate understanding and prevent conflict
- Demonstrate and identify different courses of action
- Accept mediation decisions
- Demonstrate honesty and act according to ethical principles
- Sustain cooperative working relationships

Participate in team-building techniques to achieve organizational goals. (010603)

Knowledge of:
- Goal setting
- Teamwork
- Organizational policies and procedures
- Organizational goals
- Personal strengths and weaknesses

Skills:
- Develop cooperative working relationships
- Treat customers and co-workers with dignity, respect, and fairness
- Objectively consider others’ ideas and opinions
- Demonstrate commitment, team spirit, pride, and trust
- Change behavior in response to constructive criticism
- Demonstrate quality work
- Demonstrate honesty and act according to ethical principles
- Deliver on commitments
**Level 2:** This level RIM practitioner will have prior RIM knowledge, skills, and experience. At this level, the person understands more than the basic techniques and technologies, has managed or developed records management projects, and has knowledge of information management lifecycle concepts. In addition, the practitioner may be developing specialty skills (e.g., analysis, auditing, warehousing, and application technologies) and may also have experience supervising other RIM staff. Practitioners at this level generally hold an undergraduate degree, usually in a RIM-related field.

**Domain: Business Functions**

**Level 2**

**Business Functions:** This domain pertains to the knowledge and skills necessary to administer, implement, or maintain the non-RIM specific functions an organization performs, or needs to perform, to achieve its objectives. Examples of business functions include the supervision of RIM staff, budgeting, providing customer service, identifying and mapping work processes, providing input to management, and strategic planning.

**Identify and document problems in work processes and suggest improvements to management to support the organization’s strategic plan.** (020101)

**Knowledge of:**

- RIM program and structure
- RIM program and how it relates to relevant tasks
- Current work processes and procedures, rationale, and developmental history
- Organizational processes, policies, and procedures
- Operating budget
- Staffing requirements and expectations for output of employees

**Skills:**

- Identify, collect, and record appropriate data
- Identify procedures that require improving, updating, and revising
- Identify alternatives, analyze potential benefits and risks, and provide justification for the recommended solution
- Prepare reports for management review
- State objectives and strategies to support recommendations
- Identify, compile, sort, organize, and record appropriate data
- Demonstrate innovation and initiative in proposing solutions
- Communicate results and findings effectively
- Conduct statistical analysis on RIM operational efficiencies
Conduct a business process analysis to develop a conceptual model of how records relate to the organization's business and its business processes. *(020102)*

**Knowledge of:**
- Data gathering
- Process-mapping strategies
- Relevant legal and regulatory requirements
- Organizational operational environment
- Management principles and techniques
- Business analysis techniques

**Skills:**
- Interview users and stakeholders regarding business processes
- Collect and analyze data
- Organize findings into a systematic process
- Map business requirements to records processes
- Apply business process analysis to make decisions about records creation, capture, control, storage, and disposition
- Define, evaluate, clarify, and communicate requirements
- Identify records to be captured into the system
- Make recommendations regarding the length of retention periods, based on operational, fiscal, legal, and historical needs (ISO/TR 15489-2: 2001, *Information and documentation – Records management – Part 2: Guidelines* (Section 4.2.4.3))

Research current technologies and products in the marketplace to recommend changes to meet business needs. *(020103)*

**Knowledge of:**
- RIM vendors and solutions
- RIM industry and professional resources
- RIM industry requirements, standards, and trends
- Relevant business functions and processes

**Skills:**
- Communicate appropriately for the task verbally and in writing
- Research relevant technologies, tools, and techniques
- Assimilate and synthesize data
- Summarize and report findings

Assist in developing appropriate functional/technical requirements by interviewing stakeholders, analyzing and prioritizing responses, and reviewing business processes to meet business needs. *(020104)*

**Knowledge of:**
- Data gathering techniques
- Relevant legal and regulatory requirements
- Relevant business functions and processes
- Business operating environment
- Relevant IT practices

**Skills:**
- Interview end users, managers, and stakeholders regarding relevant business processes
- Collect, analyze, and assimilate data
- Apply RIM knowledge to practical issues
- Map findings into RIM practices and business processes
### Identify recordkeeping requirements to document business functions. (020105)

**Knowledge of:**
- Mandatory characteristics of records
- Theory and practice of design and management of RIM systems
- Organizational business functions and RIM practices
- Requirements to ensure comprehensive, adequate, reliable, authentic records

**Skills:**
- Construct appropriate research methodology and processes
- Review and analyze data
- Develop recordkeeping requirements to document functions
- Review and research functions and RIM practices

### Lead and direct the work activities of RIM staff. (020106)

**Knowledge of:**
- Assigned duties of direct reports
- Outcomes and expectations of assigned projects
- Performance review process

**Skills:**
- Establish metrics to evaluate progress
- Communicate appropriately for the task verbally and in writing

### Produce status reports by reviewing and analyzing project outcomes. (020107)

**Knowledge of:**
- Project management tools and techniques
- Principles of statistical analysis
- Industry trends and requirements for the organization’s line of business

**Skills:**
- Benchmark against RIM best practices
- Analyze qualitative and quantitative data
- Use charts and graphs
- Collect project or program data
- Formulate recommendations for projects or programs to management
- Identify possible issues arising during the project
- Communicate effectively with stakeholders verbally and in writing

### Provide input for organizational policies and guidelines by analyzing processes. (020108)

**Knowledge of:**
- Specific operating systems
- Workflow
- RIM best practices
- RIM program requirements

**Skills:**
- Research and collect project or program data
- Formulate policy and guideline recommendations to management
- Assess process effectiveness with respect to program goals and requirements

### Monitor and report changes in the organizational business environment having an impact on the use of records. (020109)

**Knowledge of:**
- RIM principles and best practices
- Organizational and RIM program policies and procedures
- Business functions and changes
- Survey and evaluation techniques

**Skills:**
- Monitor RIM systems and organizational changes with a view to identifying significant impacts in a RIM context
### Provide customer service for organization including requests for information, analysis, and RIM services to meet business objectives.  (020110)

**Knowledge of:**
- Customer service goals and delivery
- Organizational business products and services
- Communication tools and techniques
- Staffing hierarchy and corporate culture
- Conflict resolution tools and techniques
- Interpersonal dynamics
- Privacy and security standards for RIM
- Records access requirements

**Skills:**
- Communicate appropriately for the task verbally and in writing
- Manage time
- Negotiate with customers regarding requests
- Resolve conflicts
- Collaborate with colleagues and with customers to meet business needs

### Respond to complex requests requiring research.  (020111)

**Knowledge of:**
- Records retrieval and user service provision principles and practices
- RIM program policies and procedures
- Records research principles and strategies
- Organizational requirements regarding security, classification, and access
- Advanced search techniques and processes
- Reference interview techniques

**Skills:**
- Identify and locate records
- Use RIM program systems to identify and produce records in response to user requests
- Use RIM program systems and records to provide users with information
- Solve problems
- Undertake detailed research into records
- Search, find, and deliver records
- Track and monitor records in circulation
- Identify closed records and prevent unauthorized access
- Document record use

### Classify and process incoming information according to RIM procedures to meet organizational compliance requirements.  (020112)

**Knowledge of:**
- Distribution requirements
- Security practices for processing incoming information
- Customer service practices
- Appropriate distribution technologies

**Skills:**
- Create distribution schedules
- Coordinate special delivery practices to clients
Level 2: RIM Practices

**Domain: RIM Practices**

**RIM Practices:** This domain pertains to the knowledge and skills required to systematically manage records and information from creation or receipt through processing, distribution, organization, storage and retrieval, and ultimate disposition. Information is a vital organizational resource, and organizations depend on accurate, readily available information to assist in management decision-making, provide litigation support, improve organizational efficiency, document compliance with legislative and regulatory requirements, and to provide historical reference.

**Evaluate, assess, and recommend appropriate media and practices for RIM program.** (020201)

| Knowledge of:                                                                 | Skills:                                                                 |
|                                                                            |                                                                        |
| • Legal and policy framework governing the organization and information management | • Identify the benefits and/or risks associated with adopting information management solution components |
| • Current and evolving technologies and their application(s)               | • Assess approaches to meet new and evolving program needs             |
| • Concepts, techniques, technologies, and roles associated with information management solution components | • Communicate appropriately for the task verbally and in writing |

**Conduct research to provide input into the design of the records and information management systems.** (020202)

| Knowledge of:                                                                 | Skills:                                                                 |
|                                                                            |                                                                        |
| • Organizational structure and infrastructure                               | • Identify relevant sources of information                              |
| • Business strategy and objectives                                          | • Formulate theories and concepts to support records and information management systems design |
| • Industry standards                                                        | • Organize, analyze, and interpret information                          |
| • Research techniques                                                       | • Design research strategies                                           |
| • Sources of information on the RIM industry                               |                                                                        |
| • Regulations and compliance requirements                                    |                                                                        |

**Assist in the design of records programs by relating business processes and legal and operational issues to records management requirements.** (020203)

| Knowledge of:                                                                 | Skills:                                                                 |
|                                                                            |                                                                        |
| • Organizational legal and regulatory environment                          | • Develop policies and procedures                                      |
| • Organizational operational environment                                    | • Analyze the impact of recommended changes on staff and staffing requirements |
| • Management principles and techniques                                      | • Communicate effectively with peer and stakeholders verbally and in writing |

**Perform survey of RIM program by business unit function and requirements.** (020204)

| Knowledge of:                                                                 | Skills:                                                                 |
|                                                                            |                                                                        |
| • Business functions and organization records                              | • Analyze data and translate it into specifications                    |
| • RIM industry trends                                                      | • Suggest changes to comply with legal/regulatory requirements, business needs, and RIM industry best practice |
| • Current RIM theory and best practices                                     |                                                                        |
| • RIM program and related applications                                      |                                                                        |
Make recommendations on drafting RIM policies and procedures by reviewing and analyzing RIM systems and requirements in line with RIM best practices. *(020205)*

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Current RIM theory and best practices</td>
<td>• Communicate appropriately for the task verbally and in writing</td>
</tr>
<tr>
<td>• Organizational RIM practices and requirements</td>
<td>• Communicate persuasively with stakeholders</td>
</tr>
<tr>
<td>• Organizational legal and regulatory environment</td>
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</tbody>
</table>

Develop methodology and procedures for describing records/archives and the systems that create them. *(020206)*

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Current RIM theory and best practices</td>
<td>• Communicate appropriately for the task verbally and in writing</td>
</tr>
<tr>
<td>• Current archival description theory and best practices</td>
<td>• Document context of RIM systems</td>
</tr>
<tr>
<td>• Context of records to organizational functions</td>
<td>• Draft procedures</td>
</tr>
<tr>
<td>• Methodology development and procedure writing theory and practice</td>
<td></td>
</tr>
</tbody>
</table>

Lead and direct help desk responses related to applications and programs. *(020207)*

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Customer relationship management</td>
<td>• Communicate appropriately for the task verbally and in writing</td>
</tr>
<tr>
<td>• Technologies specific to applications being supported</td>
<td>• Solve problems</td>
</tr>
<tr>
<td>• RIM program and practices</td>
<td></td>
</tr>
</tbody>
</table>

Develop and maintain professional, industry, and organizational knowledge to serve as a subject matter expert. *(020208)*

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Applicable industry and professional organizations</td>
<td>• Communicate appropriately for the task verbally and in writing</td>
</tr>
<tr>
<td>• Industry and professional resources</td>
<td>• Research applicable technologies, tools, and techniques</td>
</tr>
<tr>
<td>• Industry best practices</td>
<td>• Collect, synthesize, and assimilate data</td>
</tr>
<tr>
<td>• RIM industry, trends, and requirements</td>
<td>• Apply theory and knowledge to practices</td>
</tr>
<tr>
<td>• Business functions and processes</td>
<td></td>
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</tbody>
</table>

Provide RIM program and policy training. *(020209)*

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Training methodologies and techniques</td>
<td>• Develop and deliver presentations</td>
</tr>
<tr>
<td>• Group and interpersonal dynamics</td>
<td>• Give constructive feedback</td>
</tr>
<tr>
<td>• Research techniques and strategies</td>
<td>• Use self-directed learning techniques</td>
</tr>
<tr>
<td>• Application of training techniques</td>
<td>• Assess training quality and feedback</td>
</tr>
<tr>
<td>• Learning styles and strategies</td>
<td>• Implement ongoing improvement strategies for training development</td>
</tr>
</tbody>
</table>
### Provide input for revisions, oversight, and guidance in the use of forms to customers.  
**Knowledge of:**
- Form design, structure, function, and usage
- Information technology principles and applications
- Business documentation processes
- Organizational regulatory and legal environment
- Graphic design

**Skills:**
- Analyze form usage
- Communicate appropriately for the task verbally and in writing
- Assist with the development of a forms policy and guidelines
- Use graphics design applications
- Maintain a repository of forms with forms history

### Assist in developing RIM system specifications by utilizing best practices, assessing business needs, and clearly documenting requirements.  
**Knowledge of:**
- Mandatory characteristics of RIM systems
- Theory and practice of design and management of RIM systems
- Organizational business functions and RIM practices

**Skills:**
- Review, research, and analyze data
- Articulate requirements for RIM systems
- Assist in designing RIM systems

### Develop a records classification scheme and associated file plan(s).  
**Knowledge of:**
- Theory and practice of file classification schemes and file plans
- Organizational RIM requirements
- Organizational business goals and priorities
- Organizational business functions
- Business needs and RIM best practices

**Skills:**
- Construct and document classification schemes
- Develop and document file plans
- Gather and translate data on records and business functions into subject hierarchy and set of rules

### Assist with the development, implementation, and utilization of the classification scheme.  
**Knowledge of:**
- Organizational structure, infrastructure, and workflow
- Organizational RIM requirements
- Information management system design
- Classification processes and techniques
- Legal and policy framework governing the organization and information management
- RIM principles and best practices

**Skills:**
- Apply classification design scheme
- Communicate effectively with stakeholders verbally and in writing
- Consult with customers on the design of classification scheme
- Apply technical knowledge to develop practical system and procedures
### Research, develop, revise, and monitor controlled vocabulary (e.g., thesauri, taxonomies).

**Knowledge of:**
- Theory and practice of thesaurus construction
- Organizational business functions and records
- RIM industry practices

**Skills:**
- Develop and document thesauri
- Gather and translate data on records and business functions into subject hierarchy and set of rules
- Communicate appropriately for the task verbally and in writing
- Consult with users to analyze records

### Direct the processing of records involved with mergers, acquisitions, divestitures, and reorganizations by applying classification and taxonomy schemes so records are handled using established controls and processes.

**Knowledge of:**
- Organizational structure
- Records inventory process
- Vital records classification of all involved organizations
- Database programs and appropriate forms
- Software applications in use
- Terminology used in records classification, taxonomies, and schemas

**Skills:**
- Think analytically
- Organize and analyze collected data
- Solve problems
- Communicate appropriately for the task verbally and in writing
- Relate with customers
- Recognize conflicting data prior to data entry

### Assist with the development of policy and procedures for version control within and across media.

**Knowledge of:**
- Issues and challenges surrounding management of versions in business environments
- Strategies, policies, and procedures to control version creation and maintenance
- Organizational RIM practices with respect to copying and maintaining duplicate records
- Current RIM theory and best practices
- Workflow methodology
- Compliance requirements

**Skills:**
- Analyze data
- Communicate appropriately for the task verbally and in writing
- Assist with the design of policy and procedures for managing versions effectively

### Appraise records for inclusion in RIM program.

**Knowledge of:**
- Records appraisal principles and techniques
- Organizational RIM program requirements and procedures
- Organizational classification scheme

**Skills:**
- Accession records according to RIM program procedures
- Assess records to assign classification metadata
### Identify records series and create descriptions following an initial analysis of a records collection to be incorporated into the RIM program. (020218)

**Knowledge of:**
- Advanced principles of records and archives documentation and description techniques
- Organizational business functions
- RIM program requirements with respect to records and archives description
- Context of records to organizational functions

**Skills:**
- Create a description profile for records
- Conduct a records inventory

### Develop retention schedules by evaluating records series according to business function. (020219)

**Knowledge of:**
- Business functions and organizational records
- Organizational legal and regulatory environment
- Archival appraisal practices
- RIM best practices
- RIM standards

**Skills:**
- Analyze data
- Evaluate records against business, legal and regulatory, and archival requirements
- Communicate appropriately for the task verbally and in writing
- Develop clear and concise retention schedules

### Gather information from stakeholders regarding timely updates of retention schedules. (020220)

**Knowledge of:**
- Retention scheduling principles/practices
- Business needs for retention beyond legal/regulatory requirements
- Potential historic, intrinsic, or enduring value of information

**Skills:**
- Calculate trigger events for records series
- Identify end of retention period
- Communicate effectively with stakeholders verbally and in writing

### Review retention schedules prior to implementing disposition actions. (020221)

**Knowledge of:**
- Record appraisal theory and practice
- Business processes and requirements
- Privacy and security standards for records
- Environmental laws, regulations, and considerations
- Media composition and destruction/recycling processes
- Evidential, informational, historical value of records

**Skills:**
- Create concise and comprehensive documentation on the disposition review process
- Research and interpret environmental laws, regulations, and considerations
- Identify, certify, and track records for destruction
- Follow destruction authorization process
- Implement holds and moratoria
- Match records to series detailed in retention schedules
- Identify anomalies and exceptions
### Identify records having potential archival value. (020222)

**Knowledge of:**
- Principles and practice of archives management
- RIM program and practice with respect to the management of archives
- Appraisal methodologies
- Organizational history, culture, structure, and functions

**Skills:**
- Provide the rationale for the preservation of archival records
- Provide the rationale for access to archival records

### Audit records retention schedules. (020223)

**Knowledge of:**
- Record appraisal theory and practice
- Business processes and requirements
- Organizational regulatory and legal environment
- Auditing principles and techniques
- Privacy and security standards for records
- Research and information collection methodology
- Archival theory and practices

**Skills:**
- Identify and document new record series and their lifecycles
- Review and update existing records series and retention requirements
- Analyze and identify record characteristics
- Create concise and comprehensive documentation on review schedule
- Research and interpret standards, case law, regulations, and statutes
- Appraise and establish records retention periods
- Conduct a records inventory
Domain: Risk Management

Risk Management: This domain pertains to the knowledge and skills necessary to proactively mitigate and manage the potential for damage to or loss of records and information. Two risk management components—risk analysis, which identifies the probabilities that records and information will be damaged or lost, and risk assessment, which examines known or anticipated risk to records and information—are key concepts to systematically controlling the level of risk exposure of an organization. Additional risk management components from an operational perspective are business continuity and disaster preparedness and recovery.

Assist in performing a risk assessment to address potential liabilities by identifying and prioritizing risks relating to records. (020301)

Knowledge of:
- Disaster recovery techniques
- Risk management principles
- Organizational risk assessment principles
- Organizational auditing practices and principles
- Legal research methodologies
- Basic statistical analysis principles
- Advanced spreadsheet functions

Skills:
- Evaluate legal guidelines
- Collect, assimilate, and analyze relevant data
- Communicate findings and recommendations with managers and stakeholders
- Identify and evaluate risk
- Identify and develop risk mitigation techniques and strategies

Provide input to disaster planning efforts by assessing and documenting critical business processes and identifying vital records. (020302)

Knowledge of:
- Organizational business continuity plan
- Disaster recovery techniques and vendors
- Inventory and repository contents
- Vital records management principles

Skills:
- Schedule and prioritize recovery steps and processes
- Negotiate and resolve conflicts
- Communicate effectively with stakeholders verbally and in writing
- Assess and evaluate the applicability of solutions to needs
- Identify and inventory vital records
- Identify the requirements for vital records management, protection, handling, storage, and reconstitution
- Assist with planning and executing disaster recovery and business continuity plans

Participate in emergency plan preparation and drills. (020303)

Knowledge of:
- Emergency planning strategies and techniques
- Disaster recover processes
- Training methodologies and techniques
- Vital records management program
- Business continuity principles
- Gap analysis methodology
- Facilities and logistics
- Local and regional emergency action plans
- Team building and motivational processes

Skills:
- Conduct disaster training and drills
- Assign roles and conduct role playing
- Analyze and report on drill results
- Organize disaster teams and assign team responsibilities
- Identify program gaps and formulate recommendations to management for program improvement
### Assist with security classification policies and procedures. (020304)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Security classification scheme theory and principles</td>
<td>• Communicate appropriately for the task verbally and in writing</td>
</tr>
<tr>
<td>• Security classification requirements of organization's records</td>
<td>• Apply the appropriate security classification to information</td>
</tr>
<tr>
<td>• Security classification scheme administration principles and practices</td>
<td>• Educate RIM stakeholders about policies and procedures and monitor compliance</td>
</tr>
<tr>
<td>• Applicable privacy issues that have an impact on the organization</td>
<td>• Maintain privacy checklists</td>
</tr>
<tr>
<td></td>
<td>• Collect information for privacy impact assessments</td>
</tr>
</tbody>
</table>

### Assist with the operation of records security classification policy and procedures. (020305)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Security classification scheme theory and principles</td>
<td>• Communicate appropriately for the task verbally and in writing</td>
</tr>
<tr>
<td>• RIM program policy, practices, and procedures</td>
<td>• Apply the appropriate security classification to information</td>
</tr>
<tr>
<td>• Security classification requirements of organization's records</td>
<td>• Educate RIM stakeholders about policies and procedures and monitor compliance</td>
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<tr>
<td>• Applicable privacy issues that have an impact on the organization</td>
<td>• Maintain privacy checklists</td>
</tr>
<tr>
<td></td>
<td>• Collect information for privacy impact assessments</td>
</tr>
<tr>
<td></td>
<td>• Monitor, evaluate, and promote use of security classification scheme</td>
</tr>
<tr>
<td></td>
<td>• Report on incidents, triggers, and maintenance of security classification framework</td>
</tr>
</tbody>
</table>

### Protect the integrity and authenticity of records. (020306)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Security and access controls</td>
<td>• Audit access to records</td>
</tr>
<tr>
<td>• Data quality practices and procedures</td>
<td>• Maintain confidential and sensitive information</td>
</tr>
<tr>
<td>• Access control policies and principles</td>
<td>• Assist in maintaining appropriate environmental and safety controls</td>
</tr>
<tr>
<td>• Information security requirements</td>
<td></td>
</tr>
<tr>
<td>• Business continuity plan</td>
<td></td>
</tr>
<tr>
<td>• Confidentiality requirements</td>
<td></td>
</tr>
</tbody>
</table>
### Assist legal counsel and management with the legal hold process. (020307)

**Knowledge of:**
- Organizational policies and procedures related to legal holds
- Legal and policy framework governing information management
- Previous and current RIM compliance issues
- Disposition methods appropriate for various types of records
- Forms and documentation related to disposition
- Legacy systems that may contain records
- Data storage practices and media
- Organization security and privacy policies and procedures
- Document production and document discovery requirements
- Training methodologies and techniques

**Skills:**
- Provide customer service (internal and external)
- Write relevant legal hold procedures
- Create status reports
- Identify the scope of the records affected
- Process affected records
- Assist with the resumption process for removing the legal hold
- Train staff on legal hold processes and procedures
- Communicate the needs and compliance requirements of the legal hold

### Provide for security of vital records. (020308)

**Knowledge of:**
- Vital records management program
- Backup tools and techniques
- Related information technology principles and applications
- Business objectives and requirements
- Business continuity principles
- Disaster preparedness and recovery methodologies
- Audit principles and techniques

**Skills:**
- Interpret business processes and functions
- Identify gaps and redundancies in vital records storage
**Communications and Marketing**

This domain pertains to the knowledge and skills necessary to effectively exchange thoughts, messages, or information by speech, writing, or behavior and to effectively champion the benefits of a RIM program within an organization. The Communications and Marketing domain is vital to developing successful business relationships to maximize RIM support and compliance, and promote the value of RIM principles and best practices.

### Communicate and interact with stakeholders to determine RIM needs. (020401)

**Knowledge of:**
- Organizational structure, business strategy, policies, and objectives
- Information management system design
- Legal and policy framework governing the organization and information management
- Survey and focus group techniques
- RIM program goals, systems, and procedures
- Records center operations policies and practices

**Skills:**
- Communicate appropriately for the task verbally and in writing
- Develop and deliver presentations using various media to target audiences
- Organize, analyze, and interpret information
- Present and defend viable recommendations form data collections, research, and analysis
- Motivate others during change processes within the organization

### Collaborate by supporting an outreach strategy to achieve participation in the RIM program. (020402)

**Knowledge of:**
- Business partners and stakeholders’ goals and objectives
- Corporate mission, vision, goals, and objectives
- RIM program system, goals, strategy, and benefits
- Strategic planning
- Concerns of oversight bodies
- Internal resources
- Public relations
- Issues important to the governance of the organization
- Value of RIM to other organization activities

**Skills:**
- Explain and demonstrate the value of the RIM program to the organization
- Control quality of RIM processes
- Assess, analyze, and correct data in line with RIM program best practices and requirements
- Accept mediation decisions
- Demonstrate honesty and act accordingly
- Develop and deliver presentations using various media to target audiences
- Organize, analyze, and interpret information
- Communicate appropriately for the task verbally and in writing

### Develop, maintain, and improve relationships with information technologists, internal customers, and other stakeholders. (020403)

**Knowledge of:**
- Communication tools and techniques
- Industry trends and RIM profession requirements
- Staffing hierarchy and corporate culture
- Conflict resolution tools and techniques
- Customer relationship management
- Interpersonal dynamics
- Related information technology principles and applications
- Business objectives and requirements

**Skills:**
- Communicate effectively with stakeholders verbally and in writing
- Analyze personalities and team dynamics
- Use organizational chart for political acumen
- Model and analyze business processes
**Domain: Information Technology**

**Information Technology:** This domain pertains to the knowledge and skills necessary to develop, maintain, and use information processing systems, software applications, and supporting hardware and networks for the processing and distribution of data. Examples of information technology tasks in this context include the RIM software application selection process, reprographics and imaging equipment, establishing requirements for IT related to managing electronic repositories, and the identification of emerging technologies. As RIM is operating in an increasingly electronic and digital environment, appropriate knowledge and skills in relevant aspects of information technology are critical for RIM professionals at all competency levels.

### Assist in the design of information management systems through translation of records processes into technical requirements. (020501)

**Knowledge of:**
- Available information management systems/technology
- Advanced best practices in records management processes
- Principles for information-gathering requirements
- Business process analysis techniques
- Organizational legal and regulatory environment
- Gap analysis methodology

**Skills:**
- Analyze records and business processes
- Determine metadata necessary for records retrieval and authentication
- Conceptualize and visualize complex processes into practical solutions
- Perform workflow analysis
- Perform gap analysis studies
- Organize information into a systematic process
- Map business and records processes
- Define, evaluate, and clarify functional and technical requirements
- Participate in application design

### Recommend strategies to incorporate recordkeeping requirements when designing or upgrading systems. (020502)

**Knowledge of:**
- Business processes and functions
- Management principles and techniques
- Broad range of RIM practices and procedures that will achieve business goals and objectives
- Organizational goals and strategic direction

**Skills:**
- Communicate effectively with stakeholders verbally and in writing
- Present recommendations to peers and stakeholders
- Make marketing recommendations to peers and stakeholders
- Apply theory and knowledge to practices
- Organize information into a systematic process
- Negotiate and resolve conflicts and priorities
### Monitor processes for transferring or migrating records and information. (020503)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Quality control techniques</td>
<td>• Utilize appropriate media</td>
</tr>
<tr>
<td>• Records integrity and authenticity characteristics</td>
<td>• Design and build testing criteria</td>
</tr>
<tr>
<td>• Record validation techniques</td>
<td>• Analyze and troubleshoot test results</td>
</tr>
<tr>
<td>• Information and record update, copying, and migration methodologies</td>
<td>• Analyze and identify record characteristics</td>
</tr>
<tr>
<td>• Legacy and current electronic document management (EDM) and electronic document and records management (EDRM) systems</td>
<td>• Recognize and reconstruct taxonomies</td>
</tr>
<tr>
<td>• RIM migration technologies and requirements</td>
<td>• Create concise and comprehensive documentation on validation and testing methods</td>
</tr>
<tr>
<td>• Metadata standards</td>
<td>• Taxonomy structures and techniques</td>
</tr>
<tr>
<td>• Taxonomy structures and techniques</td>
<td>• Record transfer/migration techniques and practices</td>
</tr>
<tr>
<td>• Record transfer/migration techniques and practices</td>
<td>• Operating systems and equipment and relevant software</td>
</tr>
<tr>
<td>• Operating systems and equipment and relevant software</td>
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</tr>
</tbody>
</table>

### Support and train others in the use of technology to accomplish tasks in support of RIM program objectives. (020504)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Available information management systems/technology supporting RIM program</td>
<td>• Maintain sufficient supplies to support technology routinely used</td>
</tr>
<tr>
<td>• Office productivity software being supported</td>
<td>• Diagnose and solve common technology problems</td>
</tr>
<tr>
<td>• Effective application of technology, including technology to exchange/communicate business goals</td>
<td>• Interface with regularly used applications and tools</td>
</tr>
<tr>
<td>• Methods for interacting with others using technology</td>
<td>• Interpret and analyze business problems using available technology</td>
</tr>
<tr>
<td>• Advanced search techniques and processes</td>
<td>• Develop graphic presentations using various media</td>
</tr>
<tr>
<td>• Implications of emerging technologies</td>
<td>• Evaluate input and output of others to determine accuracy</td>
</tr>
<tr>
<td>• Inventory management</td>
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</tr>
</tbody>
</table>
**Domain: Leadership**

**Leadership:** This domain pertains to the knowledge and skills necessary to motivate groups of people toward the achievement of the RIM program goals within the context of the organization’s overall goals. Effective leaders must positively influence others by using leadership skills such as guiding, motivating, and mentoring; and interpersonal skills such as empathy and sensitivity.

**Maintain quality and effectiveness when experiencing changes in assigned responsibilities, work environment, or conditions affecting the organization.**

*Knowledge of:*
- Organizational change
- Organizational environment and culture
- Organizational policies and procedures
- Conflict management styles and strategies

*Skills:*
- Adapt behavior and work methods to change
- Communicate positively with staff about change
- Cooperate and collaborate during change

**Recognize conflicts and manage relationships.**

*Knowledge of:*
- Effects of conflict
- Cross-cultural considerations in dealing with conflict
- Conflict management styles and strategies
- Personality types
- Mediation
- Ethical principles

*Skills:*
- Listen actively to facilitate understanding and prevent conflict
- Identify and recommend courses of action
- Sustain cooperative working relationships

**Participate in team-building techniques to achieve organizational goals.**

*Knowledge of:*
- Goal setting
- Teamwork
- Organizational policies and procedures
- Organizational goals
- Personal strengths and weaknesses

*Skills:*
- Develop cooperative working relationships
- Treat customers and co-workers with dignity, respect, and fairness
- Objectively consider others’ ideas and opinions
- Demonstrate commitment, team spirit, pride, and trust
- Change behavior in response to constructive criticism
- Demonstrate quality work
- Demonstrate honesty and act according to ethical principles
- Take responsibility for delivering on commitments
Level 3: This level RIM practitioner is a seasoned practitioner who has worked at the enterprise level of an organization and will possess extensive knowledge of the design, creation, implementation, and management of a records management program and staff. This level of practitioner looks to high-level experts for best practices, advanced techniques, or technology innovations to learn and grow in the field. Practitioners at this level generally hold advanced degrees and/or appropriate certifications.

Domain: Business Functions

Business Functions: This domain pertains to the knowledge and skills necessary to administer, implement, or maintain the non-RIM specific functions an organization performs, or needs to perform, to achieve its objectives. Examples of business functions include the supervision of RIM staff, budgeting, providing customer service, identifying and mapping work processes, providing input to management, and strategic planning.

Survey the business environment to optimize current and future RIM operations. (030101)

Knowledge of: Skills:
- Organizational legal and regulatory environment
- Business climate (economy, industry, and competition)
- Internal and external business processes
- Relevant sources for research
- Research techniques
- Industry best practices
- RIM industry trends
- Organizational mission, vision, and goals
- Relevant ISO standards
- Review and analyze current events for applicability to RIM program and practices
- Internal and external business processes
- Review and analyze current events for applicability to RIM program and practices
- Relevant ISO standards
- Identify the organization’s strengths and weaknesses relevant to international RIM standards
- Research and compile reports of recommendations for improvements
- Manage RIM components of projects

Identify and establish goals and objectives of the RIM program to support the organization’s strategic plan. (030102)

Knowledge of: Skills:
- Business plan development process
- Organizational strategic plan
- Available resources (e.g., finances, personnel, equipment)
- Analyze organizational goals for providing supporting RIM functions
- Perform formal needs, or gap, analysis
- Prioritize relevant goals to achieve the overall mission
- Plan activities necessary to achieve objectives
- Manage the process to support objectives

Review work products to validate and ensure that outputs align with business plans and strategic objectives. (030103)

Knowledge of: Skills:
- RIM program best practices
- Program and project planning, analysis, and reporting
- Communication techniques
- Organizational strategic plan and related business plans
- Project scope
- Project planning documentation
- Identify gaps and issues in work products
- Provide constructive feedback
- Approve final work products
Provide strategic information to management to show accountability and build coalitions across the organization. (030104)

**Knowledge of:**
- RIM industry trends and current events
- Competitive intelligence
- Consensus building techniques
- Organizational structure and key players
- Gap analysis methodology

**Skills:**
- Analyze trends
- Present required information appropriate to the audience
- Build effective and lasting relationships
- Communicate appropriately for the task verbally and in writing to leverage relationships with others

Identify opportunities for RIM process improvements. (030105)

**Knowledge of:**
- Business process improvement concepts and techniques
- Legal/regulatory environment for industry
- Information collection methods
- RIM principles and best practices
- Assessment and continuous improvement methodologies

**Skills:**
- Analyze data
- Research legal and regulatory environments
- Communicate appropriately for the task verbally and in writing to collaborate with others

Identify projects and coordinate resources to ensure successful completion of projects and achieve organizational goals and objectives. (030106)

**Knowledge of:**
- Project management and planning processes
- Required and available resources (e.g., finances, personnel, equipment)
- Current workload and ability to impact/incorporate change
- Financial resources and budgeting

**Skills:**
- Delegate work and manage and instruct subordinates and/or contractors
- Evaluate and communicate benefits of implementing projects
- Analyze the needs for program improvements and project expectations
- Prioritize multiple projects
- Develop reports and communicate project status
- Adjust project resources in response to project changes

Develop periodic reports by gathering and analyzing data and information related to the RIM program. (030107)

**Knowledge of:**
- Statistical analysis and data collection
- Management decision-making
- Reporting techniques
- Key performance indicators
- Benchmarking methodology
- Organizational structure and processes
- Industry standards and best practices
- RIM industry program strategy and goals
- Program and project planning, analysis, and reporting
- Organizational analysis

**Skills:**
- Relate and present complex concepts
- Develop presentations
- Identify and apply key performance indicators
- Communicate appropriately for the task verbally and in writing
Review, monitor, and provide metrics that measure the productivity and performance of the RIM program. (030108)

**Knowledge of:**
- Metrics models
- Forecasting and trend analysis
- Total quality management principles and benchmarking opportunities
- RIM principles and how they support operations within your organization
- Key inputs, outputs, and other measures
- Project management tools and techniques
- Customer relationship management

**Skills:**
- Identify synergies and economics of scale based on metric analysis
- Discern what to measure
- Provide accurate snapshots of departmental operations, status markers, and productivity levels
- Develop reports to communicate information
- Interpret data to improve process management, make decisions, and justify/validate program to upper management

Analyze key performance indicators and prepare reports for appropriate management and stakeholders to demonstrate the success of the RIM program. (030109)

**Knowledge of:**
- Key performance indicators (e.g., budget variances, corrective actions from audits, and incident reporting)
- Benchmarking methodology
- Organizational structure and processes
- RIM industry standards and best practices
- RIM program strategy and goals
- Program and project planning, analysis, and reporting
- Organizational analysis
- Stakeholders and their goals/motivation

**Skills:**
- Identify key performance indicators
- Analyze performance indicators
- Communicate appropriately for the task verbally and in writing
- Present information to senior-level executives and stakeholders

Conduct facilities planning by reviewing short- and long-term resource and space requirements to identify and evaluate possible options. (030110)

**Knowledge of:**
- Space planning procedures
- Records storage design parameters and best practices
- Safety and fire protection standards
- Cost/benefit analysis methodologies
- Construction estimating and scheduling
- Available equipment for storage and material handling

**Skills:**
- Evaluate in-house operational costs relative to estimates for outsourcing
- Review safety and fire protection plans
- Estimate space allocation and growth requirements
- Manage aspects of construction and installation projects
Manage the process for acquiring RIM goods and services via procurement contracts. (030111)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Procurement methodology                                                    • Prepare the acquisition paperwork for RIM goods and services to meet the needs of the program</td>
<td></td>
</tr>
<tr>
<td>• Contracts management and administration                                    • Evaluate bids for RIM goods and services to meet the needs of the program</td>
<td></td>
</tr>
<tr>
<td>• Auditing principles and techniques                                          • Review contracts to guarantee compliance and satisfaction of contractual obligations</td>
<td></td>
</tr>
<tr>
<td>• Accounting principles and techniques                                        • Negotiate with external suppliers</td>
<td></td>
</tr>
<tr>
<td>• Budget development and project management                                  • Communicate appropriately for the task verbally and in writing with end users, vendors, internal customers, and other stakeholders</td>
<td></td>
</tr>
<tr>
<td>• Request for Information (RFI) / Request for Proposal (RFP) processes        • Assess/evaluate progress and benchmark against deliverables</td>
<td></td>
</tr>
<tr>
<td>• Available suppliers                                                        • Evaluate financial resources for application to the purchase</td>
<td></td>
</tr>
<tr>
<td>• Inventory practices and methodologies                                      • Perform cost/benefit analysis</td>
<td></td>
</tr>
<tr>
<td>• Master service agreements                                                   • Evaluate the benefits of various vendors</td>
<td></td>
</tr>
<tr>
<td>• Management of vendors                                                       • Negotiate agreements with vendors and service providers</td>
<td></td>
</tr>
<tr>
<td>• Outsourcing opportunities                                                   • Develop procurement specifications and bid documents</td>
<td></td>
</tr>
<tr>
<td>• Assess vendors against criteria such as reliability, service, fitness for purpose, and value for money</td>
<td></td>
</tr>
</tbody>
</table>
Manage all aspects of the RIM budget process.  

<table>
<thead>
<tr>
<th>Knowledge of:</th>
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</tr>
</thead>
<tbody>
<tr>
<td>• Organizational goals and objectives</td>
<td>• Develop budgets</td>
</tr>
<tr>
<td>• Business functions and processes</td>
<td>• Execute budgets</td>
</tr>
<tr>
<td>• Organizational operational environment</td>
<td>• Audit and evaluate finances</td>
</tr>
<tr>
<td>• Corporate budget and departmental budget</td>
<td>• Develop and use spreadsheet applications</td>
</tr>
<tr>
<td>• Organizational policies and procedures with respect to budget development</td>
<td>• Read and interpret financial statements</td>
</tr>
<tr>
<td>• Finance and accounting principles</td>
<td>• Analyze budget information for accuracy and milestone progression</td>
</tr>
<tr>
<td>• Accounting and financial management applications</td>
<td>• Make financial decisions in accordance with corporate goals and objectives</td>
</tr>
<tr>
<td>• Cost allocation strategies</td>
<td>• Collect and analyze statistical data</td>
</tr>
<tr>
<td>• Cost/benefit analysis</td>
<td>• Allocate funding</td>
</tr>
<tr>
<td>• Forecasting and trend analysis</td>
<td>• Prepare reports</td>
</tr>
<tr>
<td>• Auditing and evaluation principles</td>
<td>• Negotiate agreements with vendors and service providers</td>
</tr>
<tr>
<td>• Organization's purchasing and procurement policies and guidelines</td>
<td>• Develop procurement specifications and bid documents</td>
</tr>
<tr>
<td>• Master service agreements</td>
<td>• Assess vendors against criteria such as reliability, service, fitness for purpose, and value for money</td>
</tr>
<tr>
<td>• Management of vendors</td>
<td>• Communicate appropriately for the task verbally and in writing</td>
</tr>
<tr>
<td>• Outsourcing opportunities</td>
<td></td>
</tr>
</tbody>
</table>

Conduct short- and long-term forecasting by evaluating financial conditions to meet future operational requirements.  

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Organizational short- and long-range plans and objectives</td>
<td>• Develop budgets to meet short- and long-range plans and objectives</td>
</tr>
<tr>
<td></td>
<td>• Implement cost allocation strategies</td>
</tr>
<tr>
<td></td>
<td>• Manage projects over long periods of time</td>
</tr>
<tr>
<td></td>
<td>• Evaluate operational needs to meet organizational goals and objectives</td>
</tr>
</tbody>
</table>
Prepare position descriptions by defining roles and responsibilities for RIM staff to support the strategic plan. (030114)

Knowledge of:
- RIM requirements, policies, procedures, and processes
- Organizational position description and competency requirements
- Organizational and department strategic plan
- RIM program objectives and goals
- Educational requirements for relevant positions
- Organizational levels and relevancy of RIM positions

Skills:
- Assign tasks to appropriate position levels
- Analyze the skills needed for each position level
- Communicate appropriately for the task in writing
- Establish a hierarchy of positions for RIM program
- Develop and provide sufficient training for staff development
- Align position descriptions to criteria for performance evaluations
- Develop position descriptions to meet RIM objectives

Identify RIM personnel to meet current and future staff requirements against defined job descriptions. (030115)

Knowledge of:
- Position descriptions and required competencies
- Organizational hiring policies and practices
- Reliable sources for potential candidates
- Succession planning
- Relevant employment laws
- Organizational benefits packages
- Collective bargaining rights and where and when applicable
- Job market, referral networks, and talent pools

Skills:
- Interview candidates
- Evaluate potential candidates
- Communicate organizational policies and practices to candidates
- Evaluate the best candidate and communicate those findings
- Scan job market for best candidates for new hires

Develop performance criteria using defined measures for evaluating employees to determine competence. (030116)

Knowledge of:
- Staff development practices
- Motivational theory

Skills:
- Provide professionally constructive criticism
- Provide employee development feedback

Recognize and utilize the intellectual capital of team members to enhance the quality of RIM services. (030117)

Knowledge of:
- Organizational human resources policies and procedures
- Staff strengths and weaknesses
- Level-of-service expectations
- Corporate culture
- Organizational behavior

Skills:
- Analyze knowledge and skill base of team members
- Allocate talent pool appropriately within the RIM function
- Employ the concept of teams and teamwork
- Establish and lead cross-functional teams to achieve goals
- Leverage skills of team members
### Manage the effect of change on the RIM program. **(030118)**

**Knowledge of:**
- Organizational culture
- Training methodologies and techniques
- Impact of change on the RIM program
- Conflict resolution management practices

**Skills:**
- Mentor and encourage end users
- Solve problems
- Motivate others
- Market and promote the necessities of change
- Resolve conflict
- Communicate appropriately for the task verbally and in writing
- Provide leadership

### Implement and manage processes associated with regulatory obligations, industry benchmarks, and organizational requirements to demonstrate RIM compliance and best practices. **(030119)**

**Knowledge of:**
- RIM regulations, requirements, and compliance guidelines
- Litigation and regulatory environment
- Program audit techniques
- Program audit practices and techniques
- RIM program best practices
- Active or pending actions related to RIM assets
- Industry trends and developments
- Best practices and benchmarking techniques, trends, methodologies

**Skills:**
- Perform RIM program audit
- Compile and present audit results to management
- Apply gap analysis results to improve operations
- Research legislative and regulatory requirements
- Document discovery request and collection methodology
- Communicate appropriately for the task verbally and in writing

### Manage the integration or the transfer of records and information for internal reorganizations, mergers, acquisitions, or divestitures. **(030120)**

**Knowledge of:**
- RIM policies and best practices
- Organization being acquired or divested
- Records and information of the business
- Organizational policies, procedures, best practices
- Potential liability and risk issues
- Change management
- Merger and acquisition strategy and practices
- Organizational strategic intent

**Skills:**
- Manage projects
- Communicate appropriately for the task verbally and in writing
- Collaborate with affected parties and organizations
RIM Practices: This domain pertains to the knowledge and skills required to systematically manage records and information from creation or receipt through processing, distribution, organization, storage and retrieval, and ultimate disposition. Information is a vital organizational resource, and organizations depend on accurate, readily available information to assist in management decision-making, provide litigation support, improve organizational efficiency, document compliance with legislative and regulatory requirements, and to provide historical reference.

Implement systems in compliance with RIM requirements based on an organizational needs analysis. (030201)

Knowledge of:
- RIM principles and best practices
- System analysis methodologies
- RIM implementation processes and procedures
- Cost/benefit analysis technologies
- Workflow processes required for implementation
- Business process analysis techniques
- Legal and regulatory requirements
- Organizational RIM practices and requirements
- Organizational legal and regulatory environment

Skills:
- Identify and analyze current trends and opportunities for improvement
- Evaluate cost impact of implementing systems
- Plan and organize for an implementation
- Assist with the development and implementation of RIM plans for improvement
- Develop evaluation tools
- Apply metrics to measure the success and impact of RIM processes
- Map workflow
- Train and facilitate
- Communicate appropriately for the task verbally and in writing
- Obtain support from stakeholders

Develop comprehensive procedures to document organizational RIM practices. (030202)

Knowledge of:
- RIM policies and related processes
- Competitive intelligence
- RIM principles and best practices
- Impact of change on current processes
- Evaluation methodologies
- Business process analysis and re-engineering practices
- Procedure writing and flowcharting
- Organizational writing styles

Skills:
- Communicate appropriately for the task verbally and in writing
- Oversee the implementation of written instructions
- Identify and reconcile individual training needs
- Document operations processes
- Write procedures based upon organizational policies

Create and implement records retention policies and schedules. (030203)

Knowledge of:
- Organizational mission, vision, goals, and objectives
- Business process improvement concepts and techniques
- Stakeholder requirements and needs
- Best practices and benchmarking techniques, trends, and methodologies
- Organizational legal and regulatory environment
- Long-term value of information
- Organization’s level of risk tolerance

Skills:
- Conduct legal research and analyze data
- Communicate effectively with stakeholders verbally and in writing
- Develop training for application of retention schedules
- Develop RIM audit component
**Manage records retention and disposition in compliance with RIM program policy, legal and regulatory requirements, and business needs. (030204)**

**Knowledge of:**
- Disposition methods as defined by policies and procedures for each record type
- Record holds and destruction moratorium
- Lifecycle of records
- Legal, regulatory, and business requirements

**Skills:**
- Draft policies and procedures
- Communicate appropriately for the task verbally and in writing
- Make decisions independently
- Manage various aspects of the retention and disposition process among team members
- Select disposal methods
- Use automated records management systems
- Interview and select vendors
- Research regulations and legal requirements
- Assess records for disposal status
- Undertake disposal actions
- Document disposal actions according to RIM procedures
- Select destruction methods and oversee process

**Manage security and protection of organizational information assets in RIM storage facilities. (030205)**

**Knowledge of:**
- Contract administration
- Customer relationship management
- Occupational safety
- Records storage and preservation
- Facilities management standards
- Loss prevention
- Project management tools and techniques
- Micrographics and other preservation format types
- Electronic and digital asset management
- Records center standards and guidelines

**Skills:**
- Manage employees
- Negotiate with vendors
- Provide customer service
- Monitor environmental controls and conduct visual inspections
- Prepare reports
- Develop specifications
- Allocate resources

**Oversee operation of the records center in accordance with established policies, standards, and best practices. (030206)**

**Knowledge of:**
- Facilities management
- Records center standards
- Records management software and data input
- Business requirements
- Reporting and metrics
- Environmental, health, and safety issues
- Records transportation and storage
- Budget management
- Commercial RIM service providers operational best practices

**Skills:**
- Apply human resources to the operation
- Manage vendors and oversee the procurement process
- Manage inventory control and records retrieval
- Read, interpret, and report on user statistics, destruction statistics, and transfer statistics
Establish a process that authorizes individual access to RIM program facilities and repositories by evaluating users in accordance with policies. (030207)

**Knowledge of:**
- Organizational privacy policy
- “Right to know” policy
- Emergency operating procedures and policies
- Information security methods and practices
- Evaluation of risks and potential impacts

**Skills:**
- Apply legal security requirements to the program
- Determine the level of security required and organizational roles to which they should be applied
- Analyze the needs of the requestor to access the information
- Assess the requestor’s credibility
- Manage “rights to access”

Provide guidance and direction in centralized and decentralized file management operations to improve access and control. (030208)

**Knowledge of:**
- File management systems
- File management operations
- Facility’s ability to handle weight loads and high-density storage capacity
- File weight, engineering studies
- Need projections for future expansion
- Filing systems and equipment
- Human resources / staffing needs
- Safety requirements for operations
- RIM asset tracking and management software: specific requirements for appropriate storage and protection of various media form and formats

**Skills:**
- Comply with human resources requirements
- Comply with inventory control and records retrieval
- Use RIM applications to manage assets
- Apply metrics to forecast and make decisions regarding space requirements
- Manage active and inactive records
- Implement use of records retention schedules
- Evaluate equipment for storage and management of records

Provide training regarding RIM processes in compliance with organization policies and procedures. (030209)

**Knowledge of:**
- Organizational training needs
- Risk management concerns
- HR training programs, resources available for new development
- Training methodologies and techniques
- Training delivery methods (e.g., web, networking, classes, phone)
- Organizational RIM policies and procedures
- Training requirements and programs assessment and measurement
- “Train the trainer” methodologies

**Skills:**
- Present existing methods and how they were developed
- Coach, train, mentor employees
- Conduct a needs analysis for training
- Obtain support for organization-wide training
- Integrate RIM principles into the training program
- Evaluate and implement ongoing improvement strategies
### Review and update RIM policies and procedures. (030210)

**Knowledge of:**
- RIM principles and best practices
- Policy formulation and procedure writing techniques

**Skills:**
- Assess corporate culture and RIM priorities
- Communicate appropriately for the task verbally and in writing

### Conduct regular review and assessment of the RIM program. (030211)

**Knowledge of:**
- Auditing principles and techniques
- Organizational legal and regulatory environment
- Risk analysis and assessment
- Feedback and evaluation mechanisms
- Determining authenticity of records
- RIM principles and best practices
- Systems design and reporting
- Customer relationship management
- RIM program and systems
- Data analysis methods and applications

**Skills:**
- Test systems
- Develop and report metrics that measure cost, cycle time, effectiveness, customer satisfaction, and process improvement
- Present information
- Evaluate findings
- Initiate and monitor corrective action
- Establish continuous monitoring and regular evaluation to ensure system integrity
- Prepare audit reports
- Analyze data
- Communicate appropriately for the task verbally and in writing
- Resolve conflicts
- Solve problems

### Establish and promote organizational policies and practices to provide for the preservation and maintenance of vital records. (030212)

**Knowledge of:**
- RIM program policy and practice with respect to management of historical records/archives
- Data migration systems software and hardware design
- Systems documentation analysis
- System integration and interoperability
- Data mapping
- Preservation formats for analog and digital materials
- Project management tools and techniques
- Verification, authenticity, and validation of standards

**Skills:**
- Articulate benefits of preserving and having access to legacy information assets
- Communicate persuasively with stakeholders
- Review hardware and software specification
- Test systems
### Develop an organizational policy and practice for the collection and preservation of archival records. (030213)

**Knowledge of:**
- Professional archives management theory, practices, and standards
- Organizational RIM environment
- Organizational culture, goals, and priorities
- Organizational and community history
- Wider RIM environment (e.g., legislation, regulation, community expectations)

**Skills:**
- Communicate appropriately for the task verbally and in writing
- Advocate to maintain archival records
- Develop and articulate policies and practices
- Analyze financial situation with respect to archives management

### Delegate RIM responsibilities to ensure the creation, capture, management, preservation, retention, and disposition of comprehensive, reliable, authentic records. (030214)

**Knowledge of:**
- Professional RIM theory, practices, and standards
- Organizational culture, goals, and priorities
- Organizational business functions
- Work product of RIM program

**Skills:**
- Evaluate skill set of staff and assign duties
- Evaluate procedures applicable to work product

### Monitor metadata to describe records and document the preservation process. (030215)

**Knowledge of:**
- Archival descriptive standards
- Preservation metadata development and control
- Authenticity, integrity, reliability, and usability

**Skills:**
- Manage electronic data
- Execute archival descriptive techniques

### Design and implement the use of a system classification scheme and controlled vocabulary. (030216)

**Knowledge of:**
- Role and purpose of controlled vocabulary in RIM systems
- Controlled vocabulary development and structure
- Thesauri and taxonomies
- Organizational business functions and records
- Organizational RIM environment
- Business strategy, policies, and objectives
- Information management system design
- Legal and regulatory requirements

**Skills:**
- Design a logical classification scheme
- Develop process and procedure documentation
- Advocate and articulate benefits of using controlled vocabularies
- Collaborate with customers on the implementation and use of classification structures
- Plan project implementation strategy
- Identify need for changes or amendments to record metadata
- Communicate appropriately for the task verbally and in writing
### Develop and implement a forms management program. (030217)

**Knowledge of:**
- Form design, structure, function, and usage
- Information technology principles and applications
- Business documentation processes
- Organizational regulatory and legal environment
- Graphic design

**Skills:**
- Control the creation of forms
- Analyze form usage
- Communicate appropriately for the task verbally and in writing
- Solicit input, establish consensus, and obtain approval from customers
- Develop forms policies and guidelines
- Use graphic design applications
- Provide guidance for forms design

### Collaborate with functional groups within the organization to develop, implement, and maintain a disaster preparedness and business continuity program. (030218)

**Knowledge of:**
- Organizational emergency planning procedures
- Organizational vital records schedules
- Agreements with vendors and others storing vital records
- Backup policies, strategies, and storage locations
- Organizational structure and overall environment
- Protection methods and associated costs
- Business continuity, process, and impact analysis methodologies
- Legal and regulatory impacts related to the loss of information or records
- Agreements with vendors providing disaster recovery of various types of information assets
- Protection of recorded information essential to the continued operations of the organization
- Disaster recovery methodologies and vendor relationships required for recovery efforts
- Organizational disaster recovery plan
- Negotiation of contracts for services with outside firm for recovery assistance
- Business recovery operations
- Requirements to re-establish operations after a disaster
- Testing methodologies

**Skills:**
- Evaluate actions required in the event of a business interruption having an impact on RIM
- Communicate the RIM status following a business interruption
- Analyze the needs of the organization to support continued operations
- Analyze and communicate costs associated with the vital records program
- Select vendors capable of recovering various media types
- Develop elements of organizational business continuity and disaster recovery plan
- Implement a plan to communicate with employees during and following a business interruption
- Coach/train employees to operate in the event of a disaster
- Disaster recovery methodologies and vendor relationships required for recovery efforts
- Coordinate staff activities in recovering from a business interruption
- Hold disaster recovery drills
- Lead teams
- Communicate effectively with stakeholders verbally and in writing
### Assist with implementing, managing, and testing a plan to protect organizational vital records and information assets. (030219)

#### Knowledge of:
- Disaster and recovery planning techniques and practices
- Organizational emergency planning procedures
- Laws, regulations, and statutes requiring protection of vital records
- Potential hazards in and around the organization’s primary business location
- Components of a vital records schedule
- Capabilities of remote locations (e.g., branch offices) to store and provide access to vital records
- Appropriate storage conditions for various types of vital records consistent with media form
- Agreements with vendors and others storing vital records
- Resource planning for emergency operation center
- Sources for potential media conversion
- Proper cataloging and protection methods for vital records

#### Skills:
- Negotiate contracts for services with outside firm for vital record storage
- Coach/train employees to operate in the event of a disaster
- Coordinate access to vital records following a business interruption
- Validate records in vital records storage are current versions and routinely replaced
- Operate during emergency conditions
- Evaluate different media options
- Lead teams
- Communicate effectively with stakeholders verbally and in writing
## Domain: Risk Management

**Risk Management:** This domain pertains to the knowledge and skills necessary to proactively mitigate and manage the potential for damage to or loss of records and information. Two risk management components—risk analysis, which identifies the probabilities that records and information will be damaged or lost, and risk assessment, which examines known or anticipated risk to records and information—are key concepts to systematically controlling the level of risk exposure of an organization. Additional risk management components from an operational perspective are business continuity and disaster preparedness and recovery.

### Collaborate with legal counsel and/or risk management to implement the legal hold process and the resumption of records destruction. (030301)

**Knowledge of:**
- Laws, regulations, and statutes related to retention and disposition
- Organizational policies and procedures
- Organizational structure and environment
- Risk management, loss prevention, and mitigation techniques
- Current legal hold notification and business resumption communication system
- Organizational workflow and position accountability
- Legacy systems in which records are managed
- Data storage practices and media
- Advocacy and marketing techniques
- Training methodologies and techniques

**Skills:**
- Provide customer service (internal and external)
- Develop policies and procedures
- Prepare status reports
- Develop and deliver presentations
- Create, maintain, and publish training related to functional procedures for staff
- Communicate the risk of non-compliance

### Design RIM assessment program to evaluate compliance for meeting internal/external requirements for the organization. (030302)

**Knowledge of:**
- Auditing principles and techniques
- Relevant organizational operating environment
- Applicable RIM industry compliance requirements
- Relevant ethical business practices
- Applicable quality control standards
- Corporate legal department and processes

**Skills:**
- Evaluate current practices to determine any potential gaps
- Write accurate program components
- Determine the appropriate assessment process
- Apply relevant legal regulatory requirements to the business process
- Develop and prepare a plan to implement the compliance requirements across the organization
**Establish and manage access control protocols for RIM systems by following an organized and periodic review model.** (030303)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Information security requirements</td>
<td>• Utilize relevant software and hardware</td>
</tr>
<tr>
<td>• Personnel management</td>
<td>• Utilize algorithms for information security</td>
</tr>
<tr>
<td>• Authority control</td>
<td>• Manage protocols for access to information repositories</td>
</tr>
<tr>
<td>• Security requirements related to information</td>
<td>• Communicate requirements</td>
</tr>
<tr>
<td>• User authentication methods</td>
<td>• Analyze and assess data</td>
</tr>
<tr>
<td>• Data classification schemes and classified information-handling procedures</td>
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</tr>
<tr>
<td>• Organizational privacy policy</td>
<td></td>
</tr>
<tr>
<td>• Laws, regulations, and statutes related to privacy</td>
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</table>

**Direct the risk assessment/audit processes related to information assets.** (030304)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Risk analysis and assessment</td>
<td>• Write audit reports</td>
</tr>
<tr>
<td>• Auditing principles and techniques</td>
<td>• Analyze data</td>
</tr>
<tr>
<td>• Organizational structure and overall environment</td>
<td>• Communicate appropriately for the task verbally and in writing</td>
</tr>
<tr>
<td>• RIM program, policy, practices, and procedures</td>
<td>• Resolve conflicts / solve problems</td>
</tr>
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<td></td>
<td>• Build teams</td>
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</tbody>
</table>

**Develop security classification framework, policies, and procedures according to RIM best practices and organizational requirements.** (030305)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
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</thead>
<tbody>
<tr>
<td>• Security classification scheme theory and principles</td>
<td>• Develop a security classification framework</td>
</tr>
<tr>
<td>• Security classification requirements of organization's records</td>
<td>• Communicate persuasively with stakeholders</td>
</tr>
<tr>
<td>• Security classification scheme administration principles and practices</td>
<td>• Communicate appropriately for the task verbally and in writing</td>
</tr>
<tr>
<td>• Information security requirements</td>
<td></td>
</tr>
</tbody>
</table>
Manage privacy and proprietary information control and breach notification process. (030306)

**Knowledge of:**
- Security classification scheme theory and principles
- Security classification requirements for organization's records
- Privacy legislation
- Security classification scheme administration principles and practices
- Applicable privacy issues that have an impact on the organization

**Skills:**
- Communicate appropriately for the task verbally and in writing
- Comply with legal department directives on breach notification process
- Apply the appropriate security classification to information
- Educate RIM stakeholders about privacy policies and procedures and monitor compliance
- Maintain privacy checklists
- Design and manage the asset inventory in support of privacy impact assessments
- Develop methods for tracking disclosures
- Implement privacy awareness training program

Collaborate with functional groups within the organization to develop and maintain a disaster preparedness and business continuity program. (030307)

**Knowledge of:**
- Organizational emergency planning procedures
- Organizational vital records schedules
- Agreements with vendors and others storing vital records
- Backups and backup strategies and locations
- Organizational structure and overall environment
- Protection methods and associated costs
- Business continuity, process, and impact analysis calculations
- Legal and regulatory impacts related to the loss of information or records
- Agreements with vendors performing disaster recovery of various forms of information assets
- Protection of recorded information essential to the continued operations of the organization

**Skills:**
- Evaluate process impact in the event of an interruption relevant to RIM
- Communicate the RIM status in light of a business interruption
- Analyze the needs of the organization to support continued operations
- Analyze and communicate costs associated with the vital records program
- Select vendors capable of recovering various media types
- Develop RIM elements of organizational business continuity and disaster recovery plan
### Assist with implementing, managing, and testing the business continuity plan to protect the organization’s mission-critical records and information assets. (030308)

**Knowledge of:**
- Business recovery operations
- Disaster and recovery planning or existing organizational disaster recovery plan
- Business continuity planning
- Components of a vital records schedule
- Legal and regulatory requirements
- Agreements with vendors and others storing vital records
- Resource planning for emergency operation center
- Backups and backup strategies and locations
- Media conversion needs and requirements
- Re-establishing operations after a disaster
- Disaster recovery methodologies and vendor relationships required for recovery efforts
- Testing methodologies

**Skills:**
- Negotiate contracts for services with outside firm for recovery
- Implement a plan to communicate with employees throughout a business interruption
- Coach/train employees to operate in event of a disaster
- Coordinate staff activities in recovering from a business interruption
- Hold disaster recovery drills
- Operate in emergency conditions
- Evaluate different media options
- Lead teams
- Communicate effectively with stakeholders verbally and in writing

### Establish a vital records program for the organization by identifying records and methods of protection to preserve recorded information essential to continued operations. (030309)

**Knowledge of:**
- Organizational structure
- Organizational and inter-disciplinary network
- Industry standards and best practices for vital records programs and management

**Skills:**
- Assess and prioritize risks associated with the potential loss of records and information
- Apply applicable legal and regulatory issues to vital records management
- Negotiate and communicate relevant vital records analysis and recommendations
- Analyze the needs of the organization to support a vital records management program
- Determine the costs associated with the vital records program and develop the budget
- Develop exercises and practice recovery of vital records from a disaster
Establish and promote organizational policies and practices to provide for the preservation and maintenance of vital records. (030310)

**Knowledge of:**
- RIM program policy and practices for managing historical records/archives
- Data migration, systems software, and hardware design
- Laws, regulations, and statutes requiring protection of vital records
- System integration and interoperability
- Assessment criteria to determine scope of vital records
- Data mapping techniques
- Preservation formats for analog and digital materials
- Project management tools and techniques
- Standards for the protection of vital records appropriate to organizational business or industry
- Identification of records vital to the organization
- Organizational structure and functional capabilities of operational units
- Impact of loss of access to critical information assets
- Roles of various operational units of the organization to support business continuity
- Conversion and migration strategies
- Contracts in force with service providers for the storage and protection of vital records
- Criteria for evaluating ability of service providers to adequately protect vital records

**Skills:**
- Articulate the benefits of preserving and having access to legacy information assets
- Persuade RIM stakeholders to comply with RIM polices
- Review hardware and software specifications
- Test systems
- Determine appropriate records needed for business recovery
Establish and promote organizational policies and practices to provide for the establishment of disaster preparedness and business continuity plans for records. (030311)

### Knowledge of:
- Disaster and recovery planning policies and practices
- Data migration, systems software, and hardware design
- Risk management, loss prevention, and mitigation techniques
- Resources available for emergency operations
- System integration and interoperability
- Data mapping techniques
- Key contacts in the event of an emergency to resume operations in a timely manner
- Project management tools and techniques
- Standards for protection of vital records appropriate to organizational business or industry
- Contracts in force with service providers for the storage and protection of records
- Organizational structure and functional capabilities of operational units
- Impact of loss of access to critical information assets
- Roles of various operational units of the organization to support business continuity
- Verification, authenticity, and validation guidelines
- Team building and communications

### Skills:
- Articulate benefits of preserving and having access to critical information assets
- Communicate persuasively with stakeholders
- Review hardware and software specifications
- Determine appropriate records needed for business recovery
# Communications and Marketing

**Communications and Marketing**: This domain pertains to the knowledge and skills necessary to effectively exchange thoughts, messages, or information by speech, writing, or behavior and to effectively champion the benefits of a RIM program within an organization. The Communications and Marketing domain is vital to developing successful business relationships to maximize RIM support and compliance, and promote the value of RIM principles and best practices.

## Identify and develop relationships by networking with internal customers to maximize support and accomplish organizational goals outlined in the strategic plan. (030401)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
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</thead>
<tbody>
<tr>
<td>- Partners’ and stakeholders’ goals and objectives</td>
<td>- Focus on value-added interactions relevant to the RIM program</td>
</tr>
<tr>
<td>- Organizational strategic plan</td>
<td>- Build credibility and trust within partnerships, internally and externally</td>
</tr>
<tr>
<td>- RIM program goals and objectives</td>
<td>- Recognize and communicate the value of common goals</td>
</tr>
<tr>
<td>- Available resources (e.g., finances, personnel, equipment)</td>
<td>- Establish and support collaboration between RIM and its partners</td>
</tr>
</tbody>
</table>

## Communicate with key stakeholders to proactively ensure organizational understanding of the interrelationship of records and business processes. (030402)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Investor relations</td>
<td>- Develop and deliver presentations</td>
</tr>
<tr>
<td>- Corporate/interpersonal communication</td>
<td>- Negotiate with stakeholders and peers</td>
</tr>
<tr>
<td>- Return on Investment (ROI) principles</td>
<td>- Speak to small and large groups</td>
</tr>
<tr>
<td>- Organizational dynamics</td>
<td>- Market benefits of records management</td>
</tr>
<tr>
<td>- Marketing principles</td>
<td>-</td>
</tr>
<tr>
<td>- Institutional behavior</td>
<td>-</td>
</tr>
<tr>
<td>- Organizational structure, mission, vision, and goals</td>
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</tbody>
</table>

## Provide expertise and advice to the organization to maintain compliance and promote efficiencies through the use of the RIM program. (030403)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
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</thead>
<tbody>
<tr>
<td>- RIM principles and best practices</td>
<td>- Communicate RIM knowledge to end users</td>
</tr>
<tr>
<td>- RIM operations</td>
<td>- Advertise and market the RIM program to the organization</td>
</tr>
<tr>
<td>- Current business processes</td>
<td>- Network with others to communicate the value of the RIM program</td>
</tr>
<tr>
<td>- RIM requirements to meet organizational objectives</td>
<td>- Research RIM industry to identify potential and relevant improvements to the program</td>
</tr>
<tr>
<td>- Applicable research methodologies and resources to identify trends and issues that might have an impact on the industry</td>
<td>- Review and apply legal regulations and interpret their impacts on the RIM program</td>
</tr>
<tr>
<td></td>
<td>- Evaluate current events for applicability to organization’s RIM program</td>
</tr>
</tbody>
</table>
Communicate organizational policies promoting the value of RIM principles and best practices. (030404)

**Knowledge of:**
- Organizational policies and procedures
- Core business model and organizational structure
- Available tools and media and how to leverage them most effectively
- Effective and persuasive communication techniques
- Target audience

**Skills:**
- Communicate appropriately for the task verbally and in writing
- Apply RIM principles to the business
- Implement use of appropriate communication tools

Champion the RIM program to senior management to heighten their awareness of RIM as a key business resource. (030405)

**Knowledge of:**
- Core business values and business drivers
- Ethics and organizational code of conduct
- Issues important to executives
- Organizational culture
- Team building and motivational processes

**Skills:**
- Present oneself effectively
- Identify and negotiate the political landscape
- Communicate with and leverage relationships with others
- Communicate appropriately for the task verbally and in writing
- Communicate complex information in appropriate manner for audience

Market RIM activities by advertising the program to stakeholders to increase awareness of the importance of RIM to the organization. (030406)

**Knowledge of:**
- Organizational structure and communication channels
- Public relations principles
- Communication techniques
- Advertising and marketing of the RIM program
- Current and potential stakeholders/customers
- Organizational goals and objectives
- RIM principles and best practices

**Skills:**
- Communicate RIM benefits to stakeholders and end users
- Communicate value of applying best practices
- Network with peers to gain ideas and knowledge
- Evaluate upcoming projects to seek opportunities for RIM involvement
- Develop and deliver presentations using various media to target audiences
Domain: Information Technology

**Information Technology:** This domain pertains to the knowledge and skills necessary to develop, maintain, and use information processing systems, software applications, and supporting hardware and networks for the processing and distribution of data. Examples of information technology tasks in this context include the RIM software application selection process, reprographics and imaging equipment, establishing requirements for IT related to managing electronic repositories, and the identification of emerging technologies. As RIM is operating in an increasingly electronic and digital environment, appropriate knowledge and skills in relevant aspects of information technology are critical for RIM professionals at all competency levels.

**Identify emerging technologies and trends to manage information assets.** (030501)

**Knowledge of:**
- Current and emerging technologies and trends
- Enterprise systems and related compatibility
- Legal, regulatory, and business requirements
- Legacy operating systems
- Business techniques and measurement tools
- Applications for information management
- Security and information preservation requirements
- Privacy issues for information protection
- Data storage practices and media
- Budgeting and support costs for technology
- RIM principles and best practices

**Skills:**
- Select emerging technology solutions
- Match resources to available solutions
- Conduct interviews and collect information
- Identify trends
- Develop and implement decision-making tools
- Specify technical functionality requirements

**Establish objectives and collaborate with IT to meet requirements related to the management of repositories and other information assets.** (030502)

**Knowledge of:**
- Current IT systems
- Organizational structure of CIO’s departments and IT strategy
- Legacy systems and how they interface with their replacements
- Archival storage
- Data mapping
- Media selection
- Migration methodologies and strategy
- Enterprise systems and related compatibility
- Databases
- Data conversion techniques
- Data storage practices and media
- Interviewing skills and techniques
- IT practices and policies
- RIM requirements with respect to maintenance of reliable and authentic records

**Skills:**
- Collect information from relevant stakeholders
- Discern and make appropriate decisions
- Choose appropriate technology solutions
- Communicate RIM requirements and regulatory requirements to IT
Collaborate with IT to define and address the incorporation of lifecycle management requirements into information management systems design. (030503)

**Knowledge of:**
- Metadata standards
- Information technology practices
- Current and emerging RIM technologies
- Stakeholder requirements and needs
- Retention schedule development, implementation, and monitoring
- Policies and procedures for managing sensitive, restricted, and private information
- RIM preservation procedures, practices, and techniques
- System documentation requirements

**Skills:**
- Negotiate and communicate persuasively with stakeholders
- Select RIM and business software applications
- Specify technical functionally requirements

Collaborate with IT to implement RIM requirements during the operation, maintenance, and closeout phases of the information management system lifecycle. (030504)

**Knowledge of:**
- System capabilities as designed
- Recordkeeping requirements
- System testing procedures
- System documentation requirements
- Information technology practices and policies
- Current and emerging RIM technologies
- Stakeholder requirements and needs
- Retention schedule implementation and monitoring
- RIM preservation procedures, practices, and techniques
- Archival storage
- Data mapping
- Data storage practices and media selection
- Data migration
- RIM requirements with respect to maintenance of reliable and authentic records

**Skills:**
- Communicate persuasively with stakeholders
- Evaluate system performance against requirements
- Communicate appropriately for the task verbally and in writing
- Choose appropriate technology solutions
- Communicate RIM requirements and regulatory requirements to IT
Leadership: This domain pertains to the knowledge and skills necessary to motivate groups of people toward the achievement of the RIM program goals within the context of the organization’s overall goals. Effective leaders must positively influence others by using leadership skills such as guiding, motivating, and mentoring; and interpersonal skills such as empathy and sensitivity.

Champion projects by communicating with, and marketing to, stakeholders consistent with organizational goals and objectives. (030601)

Knowledge of:
- Organizational structure, business strategy, policies, and objectives
- RIM program goals
- Industry trends and current events
- Consensus building
- Public relations principles
- Communication techniques
- Current and potential stakeholders/customers

Skills:
- Communicate appropriately for the task verbally and in writing
- Develop and deliver presentations using various media to target audiences
- Organize, analyze, and interpret information and knowledge in an information management context
- Present and defend viable recommendations form data collection, research, and analysis

Foster effectiveness during changes in tasks, work environment, or conditions affecting the organization. (030602)

Knowledge of:
- Organizational change
- Organizational environment and culture
- Organizational policies and procedures
- Conflict management styles and strategies

Skills:
- Adapt behavior and work methods to change
- Communicate appropriately for the task verbally and in writing
- Cooperate and collaborate during change
- Inspire, motivate, and guide others toward goal accomplishments
- Manage stressful situations

Manage and mediate conflict. (030603)

Knowledge of:
- Effects of conflict
- Cross-cultural considerations in dealing with conflict
- Conflict management styles and strategies
- Personality types
- Motivational theories
- Mediation techniques

Skills:
- Assess and manage interpersonal conflict in the RIM program
- Listen actively to facilitate understanding and prevent conflict
- Demonstrate and identify different courses of action
- Demonstrate honesty and act according to ethical principles
- Foster cooperative working relationships
- Exercise good judgment by making sound and well-informed decisions
- Negotiate win/win solutions
- Adjust rapidly to new situations warranting attention and resolution
Empower others through leadership and training to maximize the potential of the RIM professional and create a positive work environment. (030604)

**Knowledge of:**
- Technical and business skills
- Personal strengths and weaknesses
- Career path development
- Training methodologies and techniques
- Group and interpersonal dynamics
- Coaching and mentoring techniques

**Skills:**
- Model RIM values
- Deliver on commitments
- Maintain confidentiality
- Demonstrate honesty and act according to ethical principles
- Apply innovative solutions to make organizational improvements
- Create a work environment that encourages creative thinking and innovation
- Identify and adjust rapidly to new situations warranting attentions and resolution
- Lead and manage an inclusive workplace that maximizes the talents of each person to achieve RIM goals
- Seek feedback from others and opportunities to master new skills
- Recognize employee achievement
- Exercise good judgment by making sound and well-informed decisions

Foster and encourage team behaviors to achieve organizational goals. (030605)

**Knowledge of:**
- Goal setting
- Team building principles
- Group and interpersonal dynamics
- Organizational policies and procedures
- Organizational goals
- Personal strengths and weaknesses

**Skills:**
- Develop cooperative working relationships
- Treat customers and co-workers with dignity, respect, and fairness
- Objectively consider others’ ideas and opinions
- Demonstrate commitment, team spirit, pride, and trust
- Change behavior in response to constructive criticism
- Demonstrate quality work
- Demonstrate honesty and act according to ethical principles
- Assign responsibility for delivering on commitments
- Create a work environment that encourages creative thinking and innovation
- Lead and manage to maximize the talents of each person to achieve goals
- Recognize, identify, and resolve team behaviors warranting special attention
- Identify situations warranting management attention and resolution
- Recognize employee achievement
Evaluate RIM staff career development plans through periodic reviews and provide mentoring to improve staff effectiveness and skills. (030606)

**Knowledge of:**
- Basic human resources management principles
- Management communication principles
- Interpersonal communication principles
- Career path development
- RIM principles and best practices
- Feedback and evaluation mechanisms
- Professional codes of conduct

**Skills:**
- Communicate appropriately for the task verbally and in writing
- Speak publicly
- Motivate/coach
- Set realistic goals
- Appraise/evaluate personnel development
Level 4: This level RIM practitioner is at the executive level, making strategic decisions, partnering with organizational executive management, and giving enterprise direction to RIM program staff and program users. Practitioners at this level frequently hold advanced degrees and appropriate certifications. For personal growth, continuing education focuses on business strategy, change management, business policies, leading teams, and collaborations and partnerships.

Domain: Business Functions

Business Functions: This domain pertains to the knowledge and skills necessary to administer, implement, or maintain the non-RIM specific functions an organization performs, or needs to perform, to achieve its objectives. Examples of business functions include the supervision of RIM staff, budgeting, providing customer service, identifying and mapping work processes, providing input to management, and strategic planning.

Develop a strategic plan for a records and information management program using best practice methodologies to support and achieve long-range organizational goals. (040101)

Knowledge of:  
- Strategic planning methodologies  
- RIM program and best practice components  
- Industry-specific guidelines and regulations  
- Consulting methodologies including data collection, analysis, and diagnosis  
- System analysis procedures  
- Communication strategies  
- Business process and organizational analysis  
- Organizational policies, plans, missions, visions, and values

Skills:  
- Identify organizational goals  
- Assess current business practices (environmental scan)  
- Direct the management of current program  
- Evaluate baseline activity levels  
- Identify risks  
- Define scope of the RIM program (e.g., business line, organization sites, international program)  
- Define RIM goals and objectives  
- Forecast near-future business conditions  
- Target reports towards specific audiences  
- Obtain peer and executive management support  
- Negotiate support from stakeholders and decision-makers

Direct the management of the RIM program to meet business objectives and ensure customer service. (040102)

Knowledge of:  
- Organizational goals and objectives  
- Management and supervisory principles  
- RIM program goals, objectives, and capabilities  
- Advanced RIM principles and best practices  
- Organizational funding priorities and budgeting  
- Human resources management principles  
- Change management principles  
- Customer relationship management  
- Legal and regulatory requirements

Skills:  
- Adapt change management principles to organization  
- Communicate appropriately for the task verbally and in writing  
- Solve problems  
- Adjust RIM priorities to remain consistent with organizational changes  
- Lead and motivate staff  
- Resolve conflict
Evaluate and approve changes to RIM program by reviewing feasibility studies and business cases and monitoring trends.  (040103)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
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</thead>
<tbody>
<tr>
<td>• Value of the RIM program to satisfying organizational objectives</td>
<td>• Make strategic decisions for the RIM program</td>
</tr>
<tr>
<td>• RIM program goals, objectives, principles, capabilities</td>
<td>• Assess, determine, and negotiate RIM costs, time lines, and staffing levels</td>
</tr>
<tr>
<td>• Organizational cost/benefit analysis methods and metrics</td>
<td>• Analyze the benefits of the business strategies</td>
</tr>
<tr>
<td>• Organizational business case and process requirements</td>
<td>• Track and assess emerging trends</td>
</tr>
<tr>
<td>• Technological trends relevant to the objectives of the RIM program</td>
<td>• Analyze findings and apply to RIM program</td>
</tr>
<tr>
<td>• RIM profession, principles, and practices</td>
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</table>

Provide program and project information to executive management and stakeholders.  (040104)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
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<tbody>
<tr>
<td>• Organizational goals and objectives</td>
<td>• Compile relevant informational reports</td>
</tr>
<tr>
<td>• Components of a best practice RIM program</td>
<td>• Identify performance indicators</td>
</tr>
<tr>
<td>• Program and project planning</td>
<td>• Organize, analyze, and interpret information</td>
</tr>
<tr>
<td>• Program and project analysis and reporting</td>
<td>• Collaborate with stakeholders</td>
</tr>
<tr>
<td>• Advanced communication techniques</td>
<td>• Report progress</td>
</tr>
<tr>
<td>• Organizational analysis</td>
<td>• Communicate appropriately for the task verbally and in writing</td>
</tr>
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</table>

Review, recommend, and revise organizational business policies to achieve compliance with technology, legal, and RIM requirements.  (040105)

<table>
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<th>Knowledge of:</th>
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<tbody>
<tr>
<td>• RIM program strategy and goals</td>
<td>• Communicate appropriately for the task verbally and in writing</td>
</tr>
<tr>
<td>• RIM industry standards and best practices</td>
<td>• Review information management and technology processes applicable to RIM</td>
</tr>
<tr>
<td>• Organizational human resources policies</td>
<td>• Analyze and interpret the business operations, legal, and RIM requirements</td>
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<tr>
<td>• IT security standards</td>
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<tr>
<td>• IT infrastructure design and policies</td>
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<td>• Data structure and information flow</td>
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<tr>
<td>• Metadata business rules</td>
<td></td>
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<tr>
<td>• Appropriate media used to store data</td>
<td></td>
</tr>
<tr>
<td>• Legal and regulatory requirements</td>
<td></td>
</tr>
<tr>
<td>• Business operations, policies, and requirements</td>
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</table>
### Attain new insights, question conventional RIM approaches, and implement innovative programs and processes for using information assets. (040106)

**Knowledge of:**
- Change management
- RIM principles and corporate culture, organizational goals, and business functions
- RIM industry trends
- Organizational legal and regulatory environment

**Skills:**
- Identify high-level program requirements
- Identify critical success factors
- Develop baseline activity levels
- Develop performance measure guidelines and metrics
- Identify required resources
- Identify costs and benefits
- Develop budgets
- Identify dependencies and constraints
- Develop and manage business plans
- Define problems and develop solutions
- Serve as a catalyst and change agent
- Break down long-term vision into achievable projects

### Advise and comment on or draft legislation, regulations, and statutes as required. (040107)

**Knowledge of:**
- Applicable legislative, regulatory, political processes
- Legal and regulatory requirements
- Current RIM environment
- RIM program strategy and goals
- Strategic planning techniques and methodology
- RIM best practices and standards
- Advocacy and outreach

**Skills:**
- Provide leadership
- Gauge the political and culture climate
- Influence and persuade constituencies

### Define current and future staffing requirements for the RIM program. (040108)

**Knowledge of:**
- Impact of organizational processes on RIM program
- RIM program goals and objectives
- Staff productivity methodologies
- Process evaluation and assessment
- Time-and-motion study techniques and sciences
- Generally Accepted Accounting Principles (GAAP)
- Human behavior and relevant workplace productivity

**Skills:**
- Develop, monitor, and report upon task analysis
- Develop the components of a best practice RIM program
- Develop and hire staff positions
- Define roles, responsibilities, and needed competencies
- Make long-range forecasts
- Manage resources
- Develop budget
- Measure performance
- Identify and encourage diverse skill sets in the RIM work force
- Develop succession plans
- Create job descriptions
- Assess and justify staffing requirements
Evaluate, authorize, and acquire organizational resources to administer the RIM program.  
(040109)

**Knowledge of:**
- Generally Accepted Accounting Principles (GAAP)
- Financial analysis including preparation of budgets, and allocation and authorization of expenditures
- Contract administration
- Business financial strategies and objectives
- Resource allocation and optimization

**Skills:**
- Analyze outsourcing trends and opportunities
- Develop strategic sources for purchasing of resources
- Analyze Return on Investment (ROI)
- Analyze financial budget variances
- Develop cost/benefit analyses and results
- Develop feasibility studies and outcomes
- Manage vendor relationships, performance, and costs

Demonstrate the value of the RIM program to acquire organizational resources.  
(040110)

**Knowledge of:**
- Organizational goals and objectives
- Organizational structure
- Current and future value of the RIM program to the organization
- Internal/external public relations and marketing practices
- Asset allocation and funding priorities

**Skills:**
- Communicate RIM program value
- Market the RIM program
- Analyze the value of the RIM program
- Communicate appropriately for the task verbally and in writing, even when data are limited or produce unpleasant consequences
- Perceive the impact and implications of decisions
- Build consensus through compromise

Allocate resources to ensure efficient and effective implementation of RIM program requirements.  
(040111)

**Knowledge of:**
- Organizational goals and objectives
- Organizational funding priorities
- Organizational structure
- Human resources principles
- Productivity guidelines, measurements, and metrics
- Organizational process for determining Return on Investment (ROI)
- RIM program goals, objectives, and capabilities
- Financial analysis
- Organizational financial strategies and objectives
- Resource allocation and optimization
- Service-level agreements, service valuations, and pricing formulas

**Skills:**
- Assess the value of the RIM program in the context of the organization’s goals
- Analyze budget variances
- Develop accurate cost/benefit analyses and results
- Conduct feasibility studies
- Finalize, justify, and administer budget process with the RIM department
- Oversee procurement and contracting resources
**Domain: RIM Practices**

**RIM Practices:** This domain pertains to the knowledge and skills required to systematically manage records and information from creation or receipt through processing, distribution, organization, storage and retrieval, and ultimate disposition. Information is a vital organizational resource, and organizations depend on accurate, readily available information to assist in management decision-making, provide litigation support, improve organizational efficiency, document compliance with legislative and regulatory requirements, and to provide historical reference.

**Review RIM program effectiveness by setting benchmarks, evaluating program performance, and reallocating resources.** (040201)

**Knowledge of:**
- RIM program output/results
- RIM program goals, objectives, principles, and requirements
- Expert knowledge of corporate culture, goals, and objectives
- Organizational funding priorities and where the RIM program fits into that structure
- RIM program productivity levels and effectiveness
- RIM benchmarking principles and practices

**Skills:**
- Communicate appropriately for the task verbally and in writing
- Define metrics to track effectiveness, efficiency, and productivity
- Assess if business requirements are being met
- Identify relevant dependencies and constraints
- Assess the credibility and accuracy of achieving performance metrics
- Present validation and justification for the reallocation of resources
- Measure RIM performance and grade at several levels

**Develop RIM policies and procedures by reviewing and analyzing recordkeeping methodologies and requirements consistent with industry best practices.** (040202)

**Knowledge of:**
- Current RIM theory and best practices
- Organizational RIM policies and procedures
- Procedure writing methodology and practices
- Organizational RIM practices and requirements
- Organizational legal and regulatory environment

**Skills:**
- Research and analyze relevant data
- Communicate appropriately for the task verbally and in writing
- Persuade RIM stakeholders
- Develop policy
## Domain: Risk Management

### Risk Management
This domain pertains to the knowledge and skills necessary to proactively mitigate and manage the potential for damage to or loss of records and information. Two risk management components—risk analysis, which identifies the probabilities that records and information will be damaged or lost, and risk assessment, which examines known or anticipated risk to records and information—are key concepts to systematically controlling the level of risk exposure of an organization. Additional risk management components from an operational perspective are business continuity and disaster preparedness and recovery.

### Implement a strategy to identify and mitigate potential RIM risks. (040301)

**Knowledge of:**
- Organizational business, legal, and regulatory requirements
- Organizational business plans, goals, and objectives
- RIM program goals, objectives, capabilities, and principles
- Merger and acquisition impacts
- Internal and external processes and associated RIM-related vulnerabilities

**Skills:**
- Forecast RIM management risks
- Articulate, report, and communicate risks
- Evaluate and mitigate organizational risks and follow due diligence procedures
- Identify, develop, and implement solutions
- Assess the RIM programs of organizations that are potentially to be acquired

### Develop and implement organizational RIM compliance management strategies and enforce approved corrective actions. (040302)

**Knowledge of:**
- Organizational business, legal, and regulatory requirements
- Organizational business plans, goals, and objectives
- RIM program goals, objectives, capabilities, and principles
- Project management
- IT security standards
- IT infrastructure design and policies
- Data structure and information flow
- Metadata business rules
- Gap analysis methodology
- Corrective action planning
- Classification, retention, disposition, and destruction of all information and media
- Media used to store data

**Skills:**
- Collaborate with IT relevant to application of technology to achieve RIM principles
- Partner with senior management regarding compliance enforcement processes
- Communicate appropriately for the task verbally and in writing
- Review information management and technology procedures used throughout the organization
- Assess the RIM program relevant to business operations, legal, and RIM requirements
- Collect and assess the metrics for non-compliance
- Perform strategic analysis of business, technology, and RIM industries and appropriate applications
- Apply business process re-engineering skills, techniques, and methodologies
- Provide leadership
- Define and implement corrective actions
### Level 4: Risk Management

**Respond to requests for compliance information to assist in organizational governance.** (040303)

**Knowledge of:***
- Legal and regulatory requirements
- Organizational governance structure
- Metrics to assess RIM program performance
- Compliance reporting

**Skills:**
- Analyze and interpret compliance requirements
- Present options and alternatives for decision-making
- Identify, evaluate, and present risks associated with non-compliance
- Communicate appropriately for the task verbally and in writing

**Partner with legal counsel and/or risk management to research, determine, document, and publish the process for administering legal holds and the resumption of records destruction.** (040304)

**Knowledge of:***
- Laws, regulations, and statutes related to retention and disposition
- Risk management, loss prevention, and mitigation techniques
- Organizational security and privacy policy and procedures
- Organizational structure, infrastructure, workflow, and position accountability
- Data storage practices and media
- Legacy systems in which records are managed
- Current legal hold notification and business resumption communication systems
- Advocacy and marketing techniques

**Skills:**
- Identify, evaluate, and present risks associated with non-compliance
- Provide customer service (internal and external)
- Write policies and procedures for a wide audience
- Communicate appropriately for the task verbally and in writing
- Identify costs and benefits
- Identify required resources
- Develop and deliver presentations
- Create and document training for all levels of staff
- Develop audit techniques and processes to monitor and spot check the legal hold process
Collaborate with the leaders of functional groups within the organization to plan, develop, and provide support for RIM focus within the disaster preparedness and business continuity program.  

**Knowledge of:**
- Organizational emergency planning procedures
- Organizational vital records requirements
- Organizational structure and overall environment
- Protection methods and associated costs
- Business continuity process and impact analysis calculations
- Protection of recorded information essential to the continued operations of the organization
- Legal and regulatory penalties due to the loss of information or records
- Business continuity, disaster recovery planning, and best practices
- Available resources (e.g., finances, personnel, equipment)

**Skills:**
- Prepare a business continuity plan
- Evaluate process impact in the event of an interruption relevant to RIM
- Analyze the needs of the organization to support continued operations
- Analyze and communicate costs associated with the vital records program
- Develop elements of organizational business continuity and disaster recovery plans
- Influence other business leaders within the organization
- Communicate the necessity of developing a disaster preparedness and business continuity program
- Communicate the RIM status in light of a business interruption
- Obtain financial support for costs associated with the vital records program
- Communicate effectively with RIM stakeholders during disaster recovery

Manage, evaluate, and maintain the RIM disaster preparedness and business continuity program.  

**Knowledge of:**
- Organizational emergency planning procedures
- Organizational vital records requirements
- Organizational structure and overall environment
- Protection methods and associated costs
- Legal and regulatory requirements due to the loss of information or records
- Protection of recorded information essential to the continued operations of the organization
- Business continuity, disaster recovery planning, and best practices
- Available resources (e.g., finances, personnel, equipment)

**Skills:**
- Prepare a business continuity plan
- Evaluate process impact in the event of an interruption relevant to RIM
- Communicate the RIM status in light of a business interruption
- Obtain financial support for costs associated with the vital records program
- Communicate effectively with RIM stakeholders during disaster recovery
- Lead RIM staff during disaster recovery
- Negotiate agreements with vendors and others storing vital records
### Direct privacy and proprietary information initiatives with an appropriate breach notification process. (040307)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Privacy legislation</td>
<td>• Collaborate with legal staff on the breach notification process</td>
</tr>
<tr>
<td>• Security classification requirements</td>
<td>• Perform public relations and damage control</td>
</tr>
<tr>
<td>• Organizational intellectual property and capital assets</td>
<td>• Create management awareness</td>
</tr>
<tr>
<td>• Privacy protection standards and best practices</td>
<td>• Promulgate privacy policies and procedures</td>
</tr>
<tr>
<td>• Industry ethics and guidelines</td>
<td>• Coordinate enterprise-wide implementation of Privacy Impact Assessment (PIA)</td>
</tr>
<tr>
<td>• Information technology protection standards and best practices</td>
<td>• Collaborate on the content of training for the privacy awareness initiative</td>
</tr>
</tbody>
</table>
# Domain: Communications and Marketing

**Communications and Marketing:** This domain pertains to the knowledge and skills necessary to effectively exchange thoughts, messages, or information by speech, writing, or behavior and to effectively champion the benefits of a RIM program within an organization. The Communications and Marketing domain is vital to developing successful business relationships to maximize RIM support and compliance, and promote the value of RIM principles and best practices.

## Collaborate with stakeholders by developing a communication and outreach strategy to achieve awareness and integration of the RIM program. (040401)

### Knowledge of:
- Organizational goals and objectives
- Organizational structure
- Strategic planning techniques and methodologies
- Communication tools
- RIM program goals, objectives, principles, and requirements

### Skills:
- Develop sales and marketing strategies for the RIM program
- Build both internal and external coalitions
- Develop and implement team-building principles and techniques
- Align the RIM program with the organizational goals and direction
- Communicate appropriately for the task verbally and in writing

## Communicate RIM program requirements and goals through education and relationships to reinforce compliance, best practices, and industry standards. (040402)

### Knowledge of:
- RIM industry program strategy and goals
- RIM industry standards and best practices
- Human resources policies
- IT policies, infrastructure, and security standards
- Data structure and information flow
- Metadata business rules
- Classification, retention, disposition, and destruction of information and media
- Types and methods of storage

### Skills:
- Communicate appropriately for the task verbally and in writing
- Influence and persuade all levels of the organization and develop applicable partnerships
- Solve problems
- Review information management and technology activities of others applicable to RIM
- Implement and evaluate training

## Establish and maintain collaborative relationships through participation in industry associations. (040403)

### Knowledge of:
- RIM industry program strategy, goals, and opportunities
- RIM industry standards and best practices
- Information technology as it relates to the profession
- RIM industry and technology trends

### Skills:
- Communicate with information technologists about relevant RIM technologies
- Communicate with end users, vendors, internal customers, and other stakeholders
- Influence and persuade stakeholders
- Identify appropriate networking opportunities
- Collaborate across boundaries
Domain: Information Technology

**Information Technology**: This domain pertains to the knowledge and skills necessary to develop, maintain, and use information processing systems, software applications, and supporting hardware and networks for the processing and distribution of data. Examples of information technology tasks in this context include the RIM software application selection process, reprographics and imaging equipment, establishing requirements for IT related to managing electronic repositories, and the identification of emerging technologies. As RIM is operating in an increasingly electronic and digital environment, appropriate knowledge and skills in relevant aspects of information technology are critical for RIM professionals at all competency levels.

**Establish RIM program methodologies for the management of information assets in electronic and digital formats.** (040501)

**Knowledge of:**
- Relevant standards for authenticity
- Relevant standards for persistent access
- Lifecycle management best practices
- E-mail management methodologies
- Website content management methodologies
- Conversion and migration strategies

**Skills:**
- Calculate storage needs
- Develop and communicate policy
- Evaluate applicable hardware and software
- Allocate resources

**Partner with IT to develop best practices and procedures related to managing electronic information repositories.** (040502)

**Knowledge of:**
- Relevant standards for digital preservation
- Conversion and migration strategies
- Electronic records management theory
- Legacy systems
- Requirements for access to data
- Trends in electronic media
- Storage practices and principles
- Archival storage
- Data mapping
- Media selection
- Information security requirements
- Data usage principles
- Advocacy and outreach

**Skills:**
- Collaborate with IT
- Communicate appropriately for the task verbally and in writing
- Evaluate legacy data

**Research RIM-related emerging technologies and business trends to assess applicability to the organization.** (040503)

**Knowledge of:**
- Management principles, techniques, theories and practices
- Current and emerging technologies and trends
- Technological needs of the organization
- Organizations involved in relevant research and development
- Internal IT infrastructure, strategy, and architecture

**Skills:**
- Determine the impact of implementing new technologies
- Analyze, assess, and champion the benefits of new technology for RIM and the organization
- Advise stakeholders of the impact of implementing new technologies on the RIM program
Leadership: This domain pertains to the knowledge and skills necessary to motivate groups of people toward the achievement of the RIM program goals within the context of the organization’s overall goals. Effective leaders must positively influence others by using leadership skills such as guiding, motivating, and mentoring; and interpersonal skills such as empathy and sensitivity.

Provide leadership and strategic direction to achieve successful operation of the enterprise-wide RIM program.  

Knowledge of:  
- Enterprise content management  
- Electronic records management  
- Information technology  
- Security and privacy  
- Information management legislation  
- Vendor relationships  
- Project management  
- Customer relationship management  
- Political influences and seats of power  
- Knowledge management  
- Strategic planning  
- Financial planning and budgeting  
- Business values and ethical conduct

Skills:  
- Provide leadership  
- Perform a strengths, weaknesses, opportunities, threats (SWOT) analysis  
- Adapt to new information or changing conditions

Sponsor projects and programs by reviewing proposals and making recommendations to further the organizational goals and objectives.  

Knowledge of:  
- Constituents of a successful proposal  
- Ongoing reviews of proposals submitted by others (staff/management)  
- Analytical review process for preparing proposals and making recommendations for adoption  
- Systems for proposing project for funding and adoption  
- Cost/benefit analysis techniques  
- Business climate and timing for promotion of projects

Skills:  
- Sell ideas to senior management for implementation  
- Negotiate with other managers for support of projects  
- Identify sources of funding and project support  
- Present conceptual projects for adoption by stakeholders  
- Select staff to manage projects  
- Write successful project proposals  
- Analyze proposals and make recommendations  
- Develop proposals

Instill the importance of organizational ethical conduct by setting an example of ethical behavior to protect information assets.  

Knowledge of:  
- Business values and ethical conduct  
- Formal business ethics  
- Basic and professional human behavior  
- Appropriate and legally approved disciplinary actions  
- Privacy laws and security regulations  
- Policy development and writing

Skills:  
- Execute organizational policies and guidelines  
- Coach and mentor  
- Develop auditing techniques and processes to monitor conduct
## Level 4: Leadership

### Participate in continuing education, research, networking, and professional and industry organizations to develop, maintain, and advance competencies. (040604)

**Knowledge of:**
- Professional, academic, and industry resources
- Research techniques
- Components of a best practice RIM program

**Skills:**
- Identify professional development needs to assess gaps in experience
- Identify resources for professional development
- Obtain funding for professional development
- Monitor trends in the profession
- Identify appropriate networking opportunities
- Network for professional purposes
- Attend educational sessions

### Influence the RIM profession by participating in the development of industry trends, methods, and techniques. (040605)

**Knowledge of:**
- Local and national RIM professional opportunities
- Industry and business trends relevant to the RIM profession
- Internal and external activities to promote the RIM program

**Skills:**
- Provide leadership
- Influence and persuade RIM peers and organizations
- Articulate and promote RIM concepts and knowledge
- Volunteer for industry activities
- Collaborate on professional/industry projects

### Empower others through leadership and training to maximize the potential of the RIM professional and create a positive work environment. (040606)

**Knowledge of:**
- Technical and business skills
- Personal strengths and weaknesses
- Career path development
- Training methodologies
- Group and interpersonal dynamics
- Coaching and mentoring techniques

**Skills:**
- Model RIM values
- Deliver on commitments
- Maintain confidentiality
- Demonstrate honesty and act according to ethical principles
- Apply innovative solutions to make organizational improvements
- Create a work environment that encourages creative thinking and innovation
- Adjust rapidly to new situations warranting attention and resolution
- Lead and manage an inclusive workplace that maximizes the talents of each person to achieve RIM goals
- Seek feedback from others and opportunities to master new skills
- Identify situations warranting attention and resolution
- Recognize employee achievement
- Exercise good judgment by making sound and well-informed decisions
Lead teams by coaching, mentoring, and resolving problems to support the business operations of the RIM function.  

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leadership principles, techniques, and methodologies</td>
<td>Identify and define the needs for coaching and mentoring</td>
</tr>
<tr>
<td>Coaching and mentoring techniques</td>
<td>Identify and define problems that warrant attention and resolution</td>
</tr>
<tr>
<td>Problem analysis</td>
<td>Apply techniques to resolve the defined issues</td>
</tr>
<tr>
<td>Components of a best practice RIM program</td>
<td>Plan professional and para-professional development strategies and techniques</td>
</tr>
<tr>
<td>Conflict resolution techniques</td>
<td>Motivate managers and project teams</td>
</tr>
<tr>
<td></td>
<td>Solve problems</td>
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<tr>
<td></td>
<td>Mediate to resolve conflict</td>
</tr>
<tr>
<td></td>
<td>Build teams</td>
</tr>
<tr>
<td></td>
<td>Provide leadership and mentoring</td>
</tr>
<tr>
<td></td>
<td>Manage a multi-sector workforce and a variety of work environments</td>
</tr>
</tbody>
</table>

Articulate program goals, recognize individual achievement, and communicate openly with staff.  

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leadership principles, techniques, and methodologies</td>
<td>Communicate appropriately for the task verbally and in writing</td>
</tr>
<tr>
<td>Human resources management principles</td>
<td>Solicit feedback from staff</td>
</tr>
<tr>
<td>Motivational theory</td>
<td>Provide appropriate, professional, and constructive feedback to staff</td>
</tr>
<tr>
<td>RIM program goals</td>
<td>Perform appropriate skill assessment</td>
</tr>
<tr>
<td>Organizational goals</td>
<td>Align staff with organization goals</td>
</tr>
<tr>
<td></td>
<td>Direct and manage all aspects of RIM program</td>
</tr>
</tbody>
</table>

Foster effectiveness during changes in tasks, work environment, or conditions affecting the organization.  

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Organizational change</td>
<td>Adapt behavior and work methods to change</td>
</tr>
<tr>
<td>Organizational environment and culture</td>
<td>Communicate positively</td>
</tr>
<tr>
<td>Organizational policies and procedures</td>
<td>Cooperate and collaborate during change</td>
</tr>
<tr>
<td>Conflict management styles and strategies</td>
<td>Inspire, motivate, and guide others toward goal accomplishments</td>
</tr>
<tr>
<td></td>
<td>Manage stressful situations</td>
</tr>
<tr>
<td></td>
<td>Handle pressure productively</td>
</tr>
<tr>
<td></td>
<td>Recover quickly from setbacks</td>
</tr>
</tbody>
</table>
### Manage and mediate conflict.  (040610)

**Knowledge of:**  
- Effects of conflict  
- Cross-cultural considerations in dealing with conflict  
- Conflict management styles and strategies  
- Personality types  
- Motivational theories  
- Mediation techniques

**Skills:**  
- Assess and manage interpersonal conflict in the RIM profession  
- Listen actively to facilitate understanding and prevent conflict  
- Demonstrate and identify different courses of action  
- Demonstrate honesty and act according to ethical principles  
- Foster cooperative working relationships  
- Exercise good judgment by making sound and well-informed decisions  
- Negotiate win/win solutions  
- Adjust rapidly to new situations warranting attention and resolution

### Facilitate career development through individual development plans, instituting reward systems, and providing resources and increased job opportunities to improve staff effectiveness.  (040611)

**Knowledge of:**  
- Organizational position descriptions and competencies  
- Human resources management principles  
- Resource availability and requirements  
- Organizational staff recognition and promotion methods  
- Organizational policies and procedures  
- Motivational theory and techniques  
- Corporate culture and practical behavior  
- Team building and supporting principles and techniques  
- RIM profession continuing professional development trends and expectations  
- Staff motivation

**Skills:**  
- Develop recognition and reward systems for staff  
- Coach and manage staff  
- Communicate with staff regarding their individual development plans and performance level  
- Promote the concept of employee ownership and responsibility  
- Promote a team-building atmosphere  
- Create, endorse, and maintain a diverse workforce  
- Map individual development plans (IDP) to RIM program needs  
- Assess and utilize resources (e.g., training offerings, professional literature) to support staff development requirements
Support opportunities for career development consistent with RIM program objectives to improve staff effectiveness. (040612)

**Knowledge of:**
- Business policies
- Human resources policies
- Management and supervisory principles
- Goal setting
- Performance evaluation methodologies
- Change management
- RIM industry program strategy and goals
- Business values and ethical conduct

**Skills:**
- Manage resources and measure performance
- Develop teams and define roles and responsibilities
- Motivate employees
- Facilitate change
- Communicate appropriately for the task verbally and in writing
- Apply conflict resolution tools
- Develop succession plans
- Coach and mentor

Champion RIM program within the organization to heighten awareness and position the function as a key business resource by establishing credibility, integrity, and executive presence. (040613)

**Knowledge of:**
- Strategic value of applying RIM practices to the organization’s information assets
- RIM program and how it contributes to best practice
- Regulations and industry guidelines
- Communication techniques
- Business development activity analysis
- Marketing and public relations
- Organizational analysis techniques

**Skills:**
- Interpret the mission and goals of the organization
- Articulate how the RIM program supports the organization’s mission and goals
- Create marketing plans and communication tools
- Manage a changing environment
- Influence new and existing stakeholders and influence for RIM support
- Collaborate and develop partnerships
- Articulate the goals and benefits of the RIM program
- Relate RIM goals to organizational goals

Champion organizational policy and practice with respect to archival records to ensure they are secure throughout the lifecycle and preserved and managed over time. (040614)

**Knowledge of:**
- Principles and practices of archives management
- RIM program policy and practice with respect to management of historical records/archives
- Principles and practices of preserving archival material

**Skills:**
- Communicate lasting economic, historical, and informational value of archival records
- Evaluate RIM systems against archival requirements
- Negotiate preservation of archival materials
## Provide direction for creating and implementing a vital records program. (040615)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Core business practices and objectives</td>
<td>• Validate vital records</td>
</tr>
<tr>
<td>• Organizational structure and inter-organizational network</td>
<td>• Obtain funding in support of vital records program</td>
</tr>
<tr>
<td>• Industry standards and best practices for vital records programs and management</td>
<td>• Assess and prioritize risks associated with the potential loss of records and information</td>
</tr>
<tr>
<td>• Legal and regulatory requirements</td>
<td>• Promote organizational support for a vital records management system</td>
</tr>
</tbody>
</table>

## Provide leadership and strategic direction in order to capitalize on opportunities for the enterprise-wide RIM program. (040616)

<table>
<thead>
<tr>
<th>Knowledge of:</th>
<th>Skills:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Knowledge management</td>
<td>• Perform a strengths, weaknesses, opportunities, threats (SWOT) analysis</td>
</tr>
<tr>
<td>• Strategic planning</td>
<td>• Compile an environmental scan</td>
</tr>
<tr>
<td>• Enterprise content management</td>
<td>• Gather and analyze competitive intelligence</td>
</tr>
<tr>
<td>• Customer relationship management</td>
<td>• Interpret data into meaningful information</td>
</tr>
<tr>
<td>• Financial planning and budgeting</td>
<td>• Gauge impact on other external environments</td>
</tr>
<tr>
<td>• Business ethics</td>
<td>• Adapt to new information or changing conditions</td>
</tr>
<tr>
<td>• Impact on external environments</td>
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</tbody>
</table>
Glossary

This Glossary includes a list of acronyms, competency-related terms, and records and information management terms commonly used in the Competencies document. For a more extensive list of records and information management terminology, see the ARMA International Glossary of Records and Information Management Terms, 3rd edition, available from the ARMA Bookstore.

ability: The knowledge and skills required for performing successfully at a given level. Competencies are the detailed descriptions of those abilities.

access: The right, opportunity, or means of finding, using, or retrieving information.

accession: The process of transferring physical custody of documentary materials to an archival institution. May also include transfer of legal custody.

accountability: The principle that individuals, organizations, and the community are responsible for their actions and may be required to explain them to others.

analog record: Paper or micrographic records.

Application Program Interface (API): A language and message format used by an application program to communicate with the operating system or some other control program such as a database management system or communications protocol.

archives: The building or other physical location used for the storage of records which are preserved because of their continuing value.

audit: Independent review and examination of records and activities to test for compliance with established policies or standards, often with recommendations for changes in controls or procedures.

authenticity: The sum of the qualities of a record that establish the origin, reliability, trustworthiness, and correctness of its content.

benchmarking: To measure a process or practice according to specified standards or references.

Business Continuity Plan (BCP): A document outlining the procedures for business process resumption in the event of a disaster or disruption.

catalog: A listing of either individual or collections of records, usually arranged systematically with descriptive details.

Certified Records Manager (CRM): A professional records manager who has satisfactorily passed the certified records manager examination administered by the Institute of Certified Records Managers and who remains a member in good standing.

Chief Information Officer (CIO): The executive with responsibility for managing an organization’s information technology and information assets, both strategically and operationally.

classification: A systematic identification and arrangement of business activities and/or records into categories according to their logically structured conventions, methods, and procedural rules.

competency: Knowledge, skill, characteristic, or trait that contributes to outstanding performance in a particular profession. A competency is represented by a task statement and the associated knowledge and skills required to perform the task.

competency model: A series of competencies organized together. A competency model differentiates between entry level and expert level performance for a specific profession.
controlled language (vocabulary): The use of standardized terminology to describe records or other information objects to aid in retrieval.

data: Symbols or characters that represent raw facts or figures and form the basis of information.
digital: Related to data encoded as a series of ones and zeros for use on computers.
disaster recovery: Actions taken after a disaster/business interruption by an organization to restore critical business functions and reclaim damaged or threatened records.
disposition: A final administrative action taken with regard to records, including destruction, transfer to another entity, or permanent preservation.
document: (noun) 1. Recorded information regardless of medium or characteristics. Frequently used interchangeably with the word record. 2. A single record item (letter, memorandum, form, or report) consisting of one or more pages. (verb) The action of creating a record.
domain: Groups or categories of competencies in a particular performance area that define the major responsibilities or duties that make up the profession. There are six domains used in the Core Competencies: Business Functions, RIM Practices, Risk Management, Communications and Marketing, Information Technology, and Leadership.
duplication: The process of making copies of original documents.
Electronic Document and Records Management (EDRM): tools, techniques, and technologies for controlling and organizing information designated as records
Electronic Document Management (EDM): tools, techniques, and technologies for controlling and organizing documents stored electronically
electronic repository: A computer system in which electronic records and their associated metadata are stored.
evidential value: The qualities that are necessary to provide the trustworthiness, reliability, and authenticity of a record and that can be used to prove or disprove a fact.
file: A group of documents in any format or media related by subject, activity, or transaction, often handled as a unit.
file conversion: The process of changing from one format, storage media, application, and /or system to another.
filing: The act of placing records within a designated records system for future accessibility.
Generally Accepted Accounting Principles (GAAP): Guidelines for financial accounting, including the rules to be followed in preparing financial statements.
goals: The set of major achievements that accomplish an organization’s mission and vision.
historical value: The determination that records possess value in documenting the history of an organization and are thus worthy of permanent preservation.
Human Resources (HR): The function or department within an organization responsible for managing all employee-related issues and policies.
Individual Development Plan (IDP): A written plan for a specific organizational employee that defines that individual's learning and career goals and specific tasks to accomplish them within a particular timeframe.
information: Data that has been given value through analysis, interpretation, or compilation in a meaningful form.
Information Technology (IT): An umbrella term referring to all the technologies related to computing, including hardware, software, networking, etc. Also used to refer to the department within an organization with the responsibility for managing the computing technologies and services.
**International Organization for Standardization (ISO):** A non-governmental standards development organization whose member organizations, the national standards institutes of over 150 countries, work together to reach consensus on standards that can apply internationally.

**knowledge:** acquired or learned factual or procedural information that supports the ability to perform a job task

**legacy data:** Information that is no longer current but is retained due to its importance or because the organization may have invested significant resources in its development.

**legal hold:** A communication issued as a result of current or anticipated litigation, audit, government investigation, or other such matter that suspends the normal disposition or processing of records.

**level:** A reflection of the amount of knowledge or experience a person has relevant to a specific topic or skill-set—regardless of time in the profession.

**lifecycle (of a record):** The distinct phases of a record’s existence, from creation to final disposition.

**medium:** A general term referring to the material onto which business information has been recorded and may subsequently be used for business purposes.

**metadata:** Structured information that describes, explains, locates, or otherwise makes it easier to retrieve, use, or manage an information resource.

**methodology:** The way in which information is found or the methods, procedures, and techniques used to collect and analyze information.

**metrics:** Measurements used to monitor or assess a process that can be audited and verified.

**migration (media):** The process of moving data from one information system or storage medium to another.

**model:** A potential “best practice” representation.

**objectives:** Specific targets established by those involved in their achievement to encourage high performance. Objectives should be unambiguous, results-oriented, measurable, verifiable, relevant, and achievable.

**policy:** A high-level overall plan, containing a set of principles, embracing the general goals of the organization, and used to base decisions.

**preservation:** Process and operation involved in ensuring the technical and intellectual survival of authentic records through time.

**Privacy Impact Assessment (PIA):** an analysis of how information is handled to ensure handling conforms to applicable legal, regulatory, and policy requirements regarding privacy.

**procedure:** Instructions, exhibits, and/or other methodologies to follow in order to complete tasks in a predictable and orderly way.

**Radio Frequency Identification (RFID):** Technology that uses radio frequencies to identify, track, locate, and manage items.

**record:** Recorded information, regardless of medium or characteristics, made or received by an organization in pursuance of legal obligations or in the transaction of business.

**records appraisal:** The process of evaluating records to determine their retention based on administrative, legal, and fiscal requirements and historical value.

**records center:** An area for lower-cost storage, maintenance, and reference use of semiactive records pending their ultimate disposition.
records and information management (RIM): The field of management responsible for the efficient and systematic control of the creation, receipt, maintenance, use, and disposition of records, including processes for capturing and maintaining evidence of and information about business activities and form of records.

records inventory: A detailed listing that includes the types, locations, dates, volumes, equipment, classification systems, and usage data of an organization’s records in order to evaluate, appraise, and organize the information.

records series: A group of related records filed/used together as a unit and evaluated as a unit for retention purposes, e.g., a personnel file consisting or an application, reference letters, benefit forms, etc.

regulatory requirements: Laws and legal precedents applicable to the business process or the RIM process.

reprographics: The techniques and processes used to copy documents.

Request for Information (RFI): A process used to collect written information, usually in a standardized format, from suppliers of a particular service or product. Often used in the early stages of a project, preceding a Request for Proposal.

Request for Proposal (RFP): A process used to collect written proposals from suppliers on how they would fulfill the requirements for a service or product specified in the request document.

retention schedule: A comprehensive list of records series, indicating for each the length of time it is to be maintained and its disposition. Also referred to as records retention schedule or records schedule.

Return on Investment (ROI): A quantifiable measure of the benefits received by an organization as a result of a resource expenditure for a specific project.

risk assessment: The evaluation of the possibility of incurring loss, damage, or injury and a determination of the amount of risk that is acceptable for a given situation or event.

risk management: The process that ensures that an organization does not assume an unacceptable level of risk; includes both records risk analysis and records risk assessment procedures.

skill: The observable, quantifiable, and measurable performance parameters involving physical, verbal, or mental manipulation of data, people, or objects

schema: A set of rules or a conceptual model for data structure and content, such as a description of the data content and relationships in a database.

security classification: A classification placed on records limiting their accessibility to those having specific authority to retrieve or use them.

standard: A method, material, or practice developed through consensus by experts in the field, which leads to results that are consistent, predictable, and desirable.

strategy: A carefully developed plan or method.

subject matter expert (SME): An individual competent in a particular skill set.

Strengths, Weaknesses, Opportunities, Threats analysis (SWOT): A method of reviewing and evaluating the current situation in an organization with the goals of building on strengths, improving or eliminating weaknesses, taking advantage of opportunities, and defending against threats. Often used as part of a strategic planning process.

task: A specific work activity required for a job at the defined level and domain

taxonomy: A structure used for classifying materials into a hierarchy of categories and subcategories.
**tracking**: A chronological record of activities that is sufficient to enable the reconstruction, review, and examination of the sequence of environments and activities.

**transfer**: Change of custody, ownership, and/or responsibility for records; or the movement of records from one location to another.

**value**: The usefulness, significance, or worth of a record. Records may have administrative, evidential, fiscal, historical, intrinsic, and legal value.

**version**: The state of a document at some point during its development.

**vital record**: A record that is fundamental to the functioning of an organization and necessary to continue operations without delay under abnormal conditions.

**workflow**: A series of tasks defined within an organization to produce a final outcome.
About ARMA International

ARMA International is the leading professional organization for persons in the expanding field of records and information management.

As of October 2007, ARMA has more than 11,000 members in the United States, Canada, and 37 other countries around the world. Within the United States, Canada, New Zealand, Japan, Jamaica, and Singapore, ARMA has nearly 150 local chapters that provide networking and leadership opportunities through monthly meetings and special seminars.

ARMA’s mission is to provide education, research, and networking opportunities to information professionals, to enable them to use their skills and experience to leverage the value of records, information, and knowledge as corporate assets and as contributors to organizational success.

Education Development Committee

The ARMA International Education Development Committee defines the strategic educational direction for the association, coordinates educational offerings and activities within ARMA, and promotes, establishes, and evolves working relationships with our global industry partners and communities that provide educational opportunities for the RIM constituency.

The ARMA International headquarters office is located in Lenexa, Kansas, in the Kansas City metropolitan area. Office hours are 8:30 a.m. to 5:00 p.m. (CT), Monday through Friday.

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Records and Information Management

Core Competencies