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**ABSTRACT**

This document contains validated activities and competencies needed by information professionals working as records and information managers. The activities of information professionals are listed by function: records and information program management; systems analysis; records center administration; general administration; planning; financial management; policies and procedures; activities management; systems analysis and design; facilities, equipment and supplies, and contract services; personnel management and staff development; communications; marketing and public relations; and research and development. The competencies are grouped under the categories of Knowledge, Skills, and Attitudes, and three professional levels are dealt with: entry level (0-3 years experience), mid-level (4-9 years experience), and senior level (10 or more years experience). (THC)

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NEW DIRECTIONS IN LIBRARY AND  
INFORMATION SCIENCE EDUCATION  
FINAL REPORT  
VOLUME 2.8  
RECORDS AND INFORMATION MANAGER  
COMPETENCIES

1984

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**VOLUME TWO: SPECIFIC COMPETENCIES**

**List of Contents**

	<b>Page</b>
1. Academic Librarian Competencies	
2. Public Librarian Competencies	
3. School Librarian Competencies	
4. Special Librarian Competencies	
5. Database Producer Professional Competencies	
6. Database Distributor/Service Professional Competencies	
7. Information Center/Clearinghouse Professional Competencies	
8. Records and Information Manager Competencies	
<b>Introduction</b>	<b>1</b>
<b>Activities</b>	<b>1</b>
<b>Knowledge</b>	<b>10</b>
<b>Skills</b>	<b>13</b>
<b>Attitudes</b>	<b>14</b>
9. Archivist/Museum Professional Competencies	
10. Information Analysis Center Professional Competencies	
11. Information Service Company Professional Competencies	
12. Library System Supplier Professional Competencies	

## INTRODUCTION

This document contains validated activities and competencies needed by information professionals working as records and information managers. The following operational definition of competency was developed:

**A competency is a generic knowledge, skill or attitude of a person that is causally related to effective behavior as demonstrated through external performance criteria, where:**

- **Knowledge is having information about, knowing, understanding, being acquainted with, being aware of, having experience of, or being familiar with something, someone, or how to do something.**
- **Skill is the ability to use one's knowledge effectively.**
- **Attitude is a mental or emotional approach to something, or someone.**

We have identified several types of knowledge that are necessary to perform information work satisfactorily as follows:

- **Basic knowledge in such areas as language, communication, arithmetic operations, etc.**
- **Subject knowledge of primary subject fields of users served such as medicine, chemistry, law, etc.**
- **Library and information work environments such as the information community, its participants and their social, economic and technical interrelationships, etc.**
- **Knowledge of what work is done such as the activities required to provide services and produce products, etc.**
- **Knowledge of the organization or user community served such as the mission, goals, and objectives of the user or the organization, user's information needs and requirements, etc.**

There appear to be three kinds of skills necessary to perform information work satisfactorily including:

- Basic skills such as cognitive, communication, analytical, etc.
- Skills related to each specific activity being performed such as negotiation of reference questions, evaluation of search outputs, etc.
- Other skills such as managing time effectively, budgeting and making projections, etc.

Attitudes of information professionals are found to be extremely important to work performance. We have found it useful to subdivide attitudes into:

- Dispositional attitudes toward one's profession, the organization served, one's work organization, and other people such as users and co-workers.
- Personality traits/qualities such as confidence, inquisitiveness, sense of ethics, flexibility, etc.
- Attitudes related to job/work/organization such as willingness to accept responsibility, willingness to learn, desire to grow, etc.

The activities and competencies are organized according to the functions which information professionals perform, and by professional level as displayed in Figure 1. The competencies are cumulative across professional level, i.e., competencies of mid-level professionals include entries shown at the mid-level as well as those at the entry level, etc.

It is important to understand the distinction between functions performed and positions or job titles. Our rationale behind the functional approach was that we were more concerned with what information professionals do than with what they are called. In a single-person unit, therefore, the information professional will undoubtedly perform more than a single function. In using and interpreting the competency data in this document, it is important to consider the functions being performed by

FUNCTIONS	ACTIVITIES		KNOWLEDGE		SKILLS		ATTITUDES	
	Essential Versus Desirable	More versus Less Important in Future	Essential Versus Desirable	More versus Less Important in Future	Essential Versus Desirable	More versus Less Important in Future	Essential Versus Desirable	More versus Less Important in Future
	ENTRY LEVEL	ENTRY LEVEL	ENTRY LEVEL	ENTRY LEVEL	ENTRY LEVEL	ENTRY LEVEL	ENTRY LEVEL	ENTRY LEVEL
	MID LEVEL	MID LEVEL	MID LEVEL	MID LEVEL	MID LEVEL	MID LEVEL	MID LEVEL	MID LEVEL
	SENIOR LEVEL	SENIOR LEVEL	SENIOR LEVEL	SENIOR LEVEL	SENIOR LEVEL	SENIOR LEVEL	SENIOR LEVEL	SENIOR LEVEL

Figure 1 Organization of Activities and Competencies

professionals and the activities being performed to determine which competencies are appropriate. The functions were not broken down into separate listings for professionals working as records and information managers.

Three professional levels were defined as follows:

- entry level (up to 3 years of professional experience)
- mid level (4-9 years of professional experience)
- senior level (10 or more years of professional experience).

The activities performed are listed first and numbered sequentially. The actual assignment of individual activities to subcategories of the major activities and to the functions varies from one worksetting to another. The organization of activities that we developed provided us with the "best fit" case. Indented and unnumbered activities are essentially paraprofessional activities which, in small organizations, may be performed by professionals.



**RECORDS AND INFORMATION MANAGER COMPETENCIES**

## ACTIVITIES

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RECORDS AND INFORMATION MANAGER

ENTRY LEVEL

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### Records and Information Program

1. Supervise paraprofessional staff who may:

supervise the daily operation and maintenance of the records and information systems; includes creation, receipt, storage, retrieval, and disposition of materials/information which may be hard copy, microform, or in computer readable files  
administer the vital records program according to established procedures  
perform various management functions required to support the operation of the records and information systems  
supervise records and information clerks who:

sort and classify incoming materials  
file/input materials  
retrieve requested records and information for users  
charge-out materials to users  
maintain accurate charge-out records  
follow-up on charged materials, as required  
perform special data gathering projects, as requested  
compile statistics, as requested  
process material for inactive storage or destruction based on retention schedule guidelines  
maintain security of records and files  
work with staff of the Records Center and other record areas to maintain standardized records procedures

2. Supervise the Records Center clerks who:

receive and store materials for inactive storage according to established retention schedules  
retrieve requested records and information for users  
charge-out materials to users  
maintain accurate charge-out records  
follow-up on charged materials, as required  
maintain security of records and files

## ACTIVITIES

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RECORDS AND INFORMATION MANAGER

ENTRY LEVEL

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### Records and Information Program (cont'd)

3. Supervise records and information technicians who:
  - establish and maintain specialized record systems to conform to standards of the existing system
  - classify and index records and information according to established schedules
  - perform special data gathering projects, as requested
  - prepare reports, as requested
  - participate in generating or updating records inventories and retention schedules
  - participate in systems analyses of specialized areas
4. Participate in the design of manual and/or automated records and information systems
5. Keep abreast of new technologies related to records and information management: computer assisted retrieval (CAR), computer systems, networking, telecommunications, etc.
6. Keep abreast of developments in the parent organization, the information field, records management techniques, and legislation that affect the Records and Information Management program
7. Participate actively in professional associations and encourage staff to do likewise
8. Identify problem areas related to the program's activities/objectives and, if possible, suggest ways to overcome the identified problems

### Other Activities

9. Train and supervise appropriate staff
10. Conduct meetings with staff supervised
11. Prepare or review/modify draft job descriptions for self and for staff supervised
12. Develop draft performance standards for self and for staff supervised
13. Prepare draft performance evaluations for staff supervised
14. Conduct conferences with staff supervised to discuss performance evaluations and other matters as appropriate

## ACTIVITIES

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### RECORDS AND INFORMATION MANAGER

ENTRY LEVEL

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#### Other Activities (cont'd)

15. Suggest ways in which staff may improve performance and/or become eligible for promotion
  16. Participate in interviewing and selecting candidates for vacant positions, as appropriate
  17. Work to develop "esprit de corps" among staff
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### RECORDS AND INFORMATION MANAGER

MID/SENIOR LEVEL

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18. Direct the daily operation of the organization-wide Records and Information Management program
19. Keep abreast of laws affecting records and information management
20. Perform various management functions related to the daily operation of the Records and Information Management program

#### Records and Information Systems Analysis

21. Work with users to define their information and recordkeeping needs
22. Review and evaluate existing and potential methods/systems of records and information control; make recommendations for changes/improvements in current methods/systems
23. Develop record retention schedules based on an analysis, categorization, and classification of record series
24. Review inventories of records and equipment
25. Assess equipment and space needs
26. Meet with vendors to discuss new equipment/systems
27. Participate in the establishment of a vital records protection program
28. Perform special analyses in the areas of forms management, micrographics, copy management, word processing, mail management, office automation, etc.

## ACTIVITIES

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RECORDS AND INFORMATION MANAGER

MID/SENIOR LEVEL

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### Records Center Administration

29. Supervise the daily operation and maintenance of the Records Center (includes receipt, storage, retrieval, and disposition of materials)
30. Administer the vital records program according to established procedures
31. Perform various management functions required to support the operation of the Records Center

### General Administration

32. Work with senior organizational administrators to formulate and/or interpret objectives of the Records and Information Management program
33. Supervise the preparation of written objectives of the Records and Information Management program
34. Coordinate Records and Information Management program objectives with those of other information-related programs within the organization
35. Evaluate current activities in terms of the program's objectives
36. Identify required statistics and reports
37. Prepare final version of the program's annual reports, other reports, and memos to senior organizational staff
38. Supervise clerical staff who directly support the Records and Information Manager

### Planning

39. Maintain an awareness of the current and planned information and service needs of the parent organization
40. Assess future needs and develop long-range plans for the Records and Information Management program
41. Recommend new activities/systems when appropriate

### Financial Management

42. Supervise the preparation of operating and capital budgets, both short- and long-term
43. Justify the program's budgets to organizational administrators

## ACTIVITIES

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RECORDS AND INFORMATION MANAGER

MID/SENIOR LEVEL

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### Financial Management (cont'd)

44. Supervise expenditure control and operation within the budgets
45. Establish financial policies and procedures in keeping with the organization's overall financial operations
46. Supervise the establishment of costs for information storage and retrieval services, if appropriate
47. Supervise charging organizational units for services, if appropriate
48. Provide expertise and guidance to organizational units in controlling their costs associated with information storage and retrieval
49. Supervise the determination of the cost of in-house versus contract processing and services, as appropriate

### Policies and Procedures

50. Work with senior staff of the Records and Information Management program to develop policies for each of the operational areas in the program
51. Present policies to organizational administrators for concurrence
52. Supervise the monitoring of established policies and guidelines (includes ensuring adherence to legal requirements which affect retention, dissemination, access, and storage of information maintained by the organization)
53. Supervise the revision of policies and guidelines as required
54. Review and approve/modify procedures recommended by staff of each of the operational areas in the program

### Management of Activities

55. Supervise overall operation of the Records and Information Management program
56. Coordinate the activities of the various operational areas in the program
57. Supervise the establishment of work schedules to ensure adequate staffing in each of the operational areas in the program

## ACTIVITIES

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RECORDS AND INFORMATION MANAGER

MID/SENIOR LEVEL

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### Management of Activities (cont'd)

58. Supervise the maintenance of adequate production levels, production deadlines and quality control
59. Identify activities which could be curtailed if staff reduction and/or budget cuts were required

### Systems Analysis and Design

60. Supervise the on-going systems analysis of Records and Information Management program activities
61. Review and approve/modify file/system design data for program files/systems as recommended by staff
62. Supervise efforts of mid-level staff to resolve problems with operation of automated systems, if applicable

### Facilities, Equipment and Supplies, and Contract Services

63. Select and justify locations of new facilities and collections
64. Work with architects, interior designers and senior staff to plan the overall design and layout for new facilities and/or the rearrangement of existing facilities
65. Supervise selection of furnishings for program facilities
66. Supervise maintenance of facilities as required
67. Work with senior staff to plan, design, and monitor a records/information security and preservation program
68. Review and approve/modify staff recommendations for acquisition of equipment, forms, supplies and systems, within limits of authority. Confer with vendors, as required
69. Justify acquisition of selected equipment/items to organizational administrators, as required
70. Supervise purchase of approved items through appropriate channels
71. Supervise maintenance of inventory listings of records, equipment, and furnishings in the Records and Information Management program
72. Review and approve/modify major contract documentation, as appropriate

## ACTIVITIES

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RECORDS AND INFORMATION MANAGER

MID/SENIOR LEVEL

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### Facilities, Equipment and Supplies, and Contract Services (cont'd)

73. Supervise in-house management of contract activity which supports the program
74. Supervise the evaluation of contractors' performance

### Personnel Management and Staff Development

75. Supervise staff review of staffing and work loads to ensure that employees are properly utilized
76. Review and approve/modify job descriptions for staff of Records and Information Management program and for staff in the program manager's office
77. Request and justify new positions, as required
78. Supervise staff recruitment after staffing requests are approved
79. Interview and select candidates for staff positions and for program manager's staff
80. Ensure that new staff receive proper orientation and on-the-job training
81. Approve/modify performance standards as developed by staff
82. Review and approve/modify draft performance evaluations for staff of the Records and Information Management program
83. Approve organization-funded training for staff
84. Review/prepare documentation for awards, grievance actions, separations, etc.
85. Present awards

### Personnel Management and Staff Development (cont'd)

86. Discipline staff as required
87. Conduct exit interviews with staff, as appropriate
88. Approve leave and vacation schedules for staff



## ACTIVITIES

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RECORDS AND INFORMATION MANAGER

MID/SENIOR LEVEL

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### Communications

89. Attend staff meetings of senior organization staff as the representative of the Records and Information Management program
90. Ensure that communication is maintained within the Records and Information Management program so that staff will know what is happening in the program, in other information-related programs in the organization, in the parent organization itself, and in the information world in general
91. Establish and maintain good working relationships within the Records and Information Management program, with managers of the organization's other information-related programs, and with other organization staff, as appropriate
92. Make preliminary arrangements for cooperative efforts with other information-related programs in the organization
93. Represent the Records and Information Management program or designate representative(s) for joint projects with other information-related programs in the organization

### Marketing and Public Relations

94. Market the Records and Information Management program and its services to higher level administrators
95. Supervise the marketing of the Records and Information Management program and its services to the user community
96. Establish and maintain good working relationships with other organizations which provide support/services for the Records and Information Management program
97. Communicate with these other organizations regarding any difficulties associated with the provision of support/services
98. Receive official visitors to the Records and Information Management program
99. Supervise arrangements for overviews/tours of the Records and Information Management program

## ACTIVITIES

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RECORDS AND INFORMATION MANAGER

MID/SENIOR LEVEL

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### Marketing and Public Relations (cont'd)

100. Supervise the coordination of production of publications/information products by the Records and Information Management program
101. Ensure that documents describing the Records and Information Management Program and its policies and procedures are up-to-date
102. Approve/modify recommended arrangements for advertisement, publication, and distribution of documents/information products produced by the Records and Information Management program

### Research and Development

103. Review problem areas related to the program's activities/objectives which require further study
104. Review, approve/modify in-house or contract studies of the problem areas
105. Review and approve/modify evaluations by staff of studies' recommendations
106. Approve and supervise implementation of new programs/procedures as appropriate

## KNOWLEDGE

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RECORDS & INFORMATION MANAGER

ENTRY LEVEL

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### Basic knowledge

knowledge related to literacy, numeracy, communications, etc.

### Subject knowledge

knowledge of the primary subject field of users served (e.g. medicine, chemistry, law, etc.)  
knowledge of the terminology and jargon of the subject field  
knowledge of foreign languages

### Information Science Knowledge (Generic)

knowledge of definition, structure, and formats of information  
knowledge of alternative approaches to the organization of information  
knowledge of alternative approaches to retrieval of management information  
knowledge of alternative approaches to information management  
knowledge of available and emerging information technologies and their applications  
knowledge of completed and ongoing research in the field and its applicability to practice  
knowledge of career opportunities  
knowledge of how to learn on an ongoing basis

### Knowledge about information work environments

knowledge of the expanding information community, its participants and their interrelationships (social, economic, technical, etc.)  
knowledge of the variety of work settings and their organizational structures  
knowledge of the functions performed within the various work settings and the services and products offered  
knowledge of the users of the services and products, their characteristics and information habits

### Knowledge of what work is done

knowledge of the records and information management function, the range of services and products offered (both actual and potential)  
knowledge of the activities that are required to offer the services and produce the products  
knowledge of the various resources that are necessary to support the activities

## KNOWLEDGE

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RECORDS & INFORMATION MANAGER

ENTRY LEVEL

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### Knowledge of what work is done (cont'd)

knowledge of records and information management tools and sources of information  
knowledge of records and information management methods and techniques  
knowledge of management methods and techniques  
knowledge of performance expected and how it can be measured  
knowledge of job responsibilities and working conditions (e.g., range of duties, probable compensation, benefits, etc.)

### Knowledge of how to do work

knowledge of how to perform the various activities  
knowledge of how to use the records and information management tools and sources of management information  
knowledge of how to apply records and information management methods and techniques  
knowledge of how to apply general management methods and techniques  
knowledge of personnel procedures

### Knowledge of the organization served and its information management program

knowledge of the mission, goals and objectives of the organization served  
knowledge of the structure of the organization and the role of the records and information management program within the overall information program of the organization  
knowledge of the policies and procedures relevant to the records and information management program  
knowledge of the various resources available within the records and information management program (e.g. personnel, equipment, systems, etc.)  
knowledge of the users' information needs and requirements  
knowledge of the records and information collection and related collections

## KNOWLEDGE

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RECORDS & INFORMATION MANAGER

MID/SENIOR LEVEL

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greater depths of knowledge specified above  
knowledge of the legal, fiscal, administrative, and/or historical reasons for retaining records  
knowledge of available vendor-supplied systems, services and products to support records and information management  
knowledge of facilities management operations: building codes, fire and other emergency procedures, safety regulations, etc.  
knowledge of the contracting process, both in general and within the organization  
knowledge of evaluation methods and techniques to evaluate systems, services and products  
knowledge of public relations techniques  
knowledge of statistical description, analysis, interpretation and presentation  
knowledge of the costs associated with records and information management resources (materials, personnel, space, systems, etc.)  
knowledge of cost analysis and interpretation methods  
knowledge of methods of resource allocation  
knowledge of standards, measures and methods for evaluating personnel  
knowledge of alternative management structures and their implications for the operation of the records and information management program  
state-of-the-art knowledge of library research and practice in records and information management  
knowledge of the various projects and key personnel within the organization  
knowledge of the operations of other information units in the organization and how they relate to records and information management

## **SKILLS**

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**RECORDS & INFORMATION MANAGER**

**ENTRY LEVEL**

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### Basic Skills

literacy, numeracy, cognitive, analytical, communications, etc.

### Skills Related to Specific Activities

Ability to:

- perform each activity
- establish rapport with users and colleagues
- function as a leader and motivator
- communicate well by written, verbal and non-verbal means
- conduct an interview
- conduct meetings with individuals and groups
- collect, analyze and interpret data
- make decisions and recommendations based on available information
- supervise staff
- work independently and in groups
- develop criteria for evaluation
- make effective, timely, and well-informed decisions
- isolate and define problems and develop the necessary criteria and action for their solution
- manage time effectively

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**RECORDS & INFORMATION MANAGER**

**MID/SENIOR LEVEL**

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### Skills Related to Each Specific Activity

Skills listed above are developed to a greater extent

Ability to:

- perceive the needs of the organization and not just those of the records and information management program
- anticipate long-range needs of the program
- design systems and procedures to improve program operations
- arbitrate and negotiate
- apply methods of measurement and evaluation
- budget and make projections
- optimize the use of available resources

## ATTITUDES

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### RECORDS & INFORMATION MANAGER

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#### Dispositional Attitudes

##### Attitudes Toward Institutions

Respect for the profession  
Respect for the records and information management program  
Respect for the parent organization

##### Attitudes Toward Other People

###### Toward Users

Respect users  
Like people in general  
Like to help people  
Like to meet people  
Like to make others feel comfortable  
Sensitive to others' needs

###### Toward Others in the Workplace

Respect co-workers  
Like to work with others/as a team  
Like to work on own  
Willingness to draw upon and share knowledge and experience with others  
Supportive of co-workers  
Enjoy managing/supervising others

#### Personal Qualities

Alertness  
Assertiveness  
Compassion/Kindness  
Confidence  
Cheerfulness  
Dependability  
Determination/Tenacity  
Diplomacy  
Emotional stability  
Fairness  
Flexibility/Versatility  
Imagination  
Inquisitiveness  
Leadership ability  
Neatness  
Need for achievement

## ATTITUDES

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### RECORDS & INFORMATION MANAGER

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#### Personal Qualities (cont'd)

Objectivity  
Open-mindedness  
Optimism/Positive attitude  
Organization  
Patience  
Physical endurance  
Resourceful  
Sensitive/Thoughtful  
Sense of humor  
Sense of ethics  
Tolerance

#### Attitudes Related to Job/Work/Organization

Individual should demonstrate:

Willingness to take/accept responsibility  
Willingness to take initiative  
Willingness to respond to authority, apply and follow policy  
Realization that there is no single "right" way to achieve the goals of the section/organization  
Desire to learn/try  
Willingness to fail  
Willingness to ask questions  
Desire to work to best of ability  
Responsiveness to time constraints  
Accuracy  
Willingness to get hands dirty  
Attention to detail  
Willingness to do clerical tasks  
Desire to follow-through  
Service orientation  
Organizational identity  
Willingness to promote the Records and Information Management program and its services  
View of the program as part of a larger information environment  
View of the program as an organizational unit  
Ability to see broad picture  
Ability to sacrifice short-term gains for long-term goals  
Political sense  
Curiosity  
Variety of interests  
Desire to grow personally  
Desire to grow professionally  
Desire to remain current in specific and general subject field  
Positive attitude toward job