



FOLEY & LARDNER LLP

# **RIM Core Competencies: Assessing Your Records Department Staff's Skills**

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# We Live in Challenging Times...

- Companies are more aware than ever about the importance of RIM
- But no one has resources to spend on less than the best
- Your challenge and mine
  - How to develop our teams to have skills that will be needed in today's business environment

# Does Your Team Have Essential, Marketable RIM Skills?

- There is a core set of RIM competencies
- They expand as we move upward in our careers
- We need to measure them for ourselves, and also for our teams
  - Then fill the gaps

# Competency Based Professional Development

- Establishes a clear path for individuals to travel throughout their careers
- Helps business leaders clearly identify the skill set needed to do a specific job
- Is the first step in the evolution from “job” to “profession”

# Today, We'll Talk About Two Competency Models

- ARMA International's *Records and Information Management Core Competencies*
- *The Records Management Career Path at Foley & Lardner LLP*

# What Are Competencies?

- “...the knowledge, skills, characteristics or traits that contribute to outstanding performance in a particular profession”
  - Described in a way that they can be observed, measured, and rated
  - Changes the focus from “what” an employee must accomplish to “how” the employee accomplishes the required tasks

- *ARMA International Records and Information Management Core Competencies*

# The ARMA Competency Model

- *Records and Information Management Core Competencies*
  - Describes what RIM professionals need to know about specific topics at various career levels
- *RIM Self-Assessment Tool*
  - Allows RIM professionals to assess their own competencies, identify gaps, and access materials to help fill gaps

# Who Will Benefit From The ARMA Tools?

- RIM professionals
- Other business leaders
  - HR, Exec. Level Mgmt, IT Peers and Partners, Risk Management, etc.
  - They will know how to identify and assess RIM skills

# How Are The Competencies Presented?

- 4 Competency Levels
- 6 Competency Domains
- Task Statements for each level/domain

# Competency Levels

- Level 1
  - Entry level
  - No prior RIM experience
  - May or may not have a degree
- Level 2
  - Prior RIM knowledge, skills and experience
  - Knowledge of life cycle
  - Learning specialty RIM skills
  - Generally has degree, perhaps in RIM related field

# Competency Levels

- Level 3
  - Seasoned practitioner who has worked at the enterprise level
  - Extensive knowledge and experience creating RIM programs
  - Generally has advanced degree and/or appropriate certifications
- Level 4
  - Executive level
  - Makes strategic decisions, partners with executive management
  - Provides enterprise direction re RIM
  - Advanced degree, continuing education in business, change management, policy development and collaboration

# Domains

- Business Functions
  - Knowledge and skills necessary to administer, implement, or maintain non-RIM specific functions that allows organization to achieve its goals
    - Supervision
    - Budgeting
    - Customer service
    - Mapping work processes
    - Strategic planning

# Domains

- RIM Practice
  - Knowledge and skills required to systematically manage records and information through the life cycle

# Domains

- Risk Management
  - Knowledge and skills necessary to proactively mitigate and manage potential for damage to or loss of records and information.
    - Risk analysis (probabilities)
    - Risk assessment (known or anticipated risks)
    - Business continuity/disaster preparedness

# Domains

- Communication and Marketing
  - Knowledge and skills necessary to effectively exchange thoughts, messages, or information by speech, writing or behavior
    - Effectively champion the benefits of RIM

# Domains

- Information Technology
  - 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
    - RIM software applications
    - Imaging systems
    - E-records repositories
    - Emerging technologies

# Domains

- Leadership

- 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

- Guiding
    - Motivating
    - Mentoring

# The ARMA Model Can Be Seen As A Matrix

<u>Domains</u>	<u>Level 1</u>	<u>Level 2</u>	<u>Level 3</u>	<u>Level 4</u>
Business Functions	<p><u>“Task Statements” exist for each level and each domain that address a specific work activity.</u></p> <p>What activity is performed?            To whom or at what is the activity directed?            How is the activity accomplished?            Why is this activity performed?</p> <p><u>Following each task statement are knowledge and skill statements</u></p> <p><i>Knowledge</i> = learned factual or procedural information  <i>Skill</i> = Observable, quantifiable, measurable performance parameters</p>			
RIM Practices				
Risk Management				
Communications				
Information Technology				
Leadership				

# Example Of A Task Statement

- Level 1, RIM Practices

“Conduct components of a records inventory by gathering data, surveying the organization, and reviewing business processes as directed”

Knowledge of:

- *Basic records inventory process*
- *Basic RIM principles*
- *Basic records appraisal principles*
- *Vital records classification*
- *Database programs and appropriate forms*
- *RIM tracking/management application used by organization*

Skills:

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

# How Do You Use The ARMA Competency Model?

- Review the document to learn about the competencies
- Then, use the “RIM Self-Assessment Tool”
  - A self-evaluation tool
    - Document your strengths
    - Identify your weaknesses
    - Improve your skills
    - Create a road map for your professional development
    - Increase your value

# Using The Self Assessment Tool

- Step 1 – Assess your competencies
  - Assess your proficiency for each competency within the appropriate level
- Step 2 – Review your gap analysis
  - This provides you with a report outlining your strengths and weaknesses
- Step 3 – Create your professional development plan
  - Review the resources associated with your areas of development
  - Create a plan by setting long- and short-term goals based on your assessment results
- Step 4 – Take action
  - Create an action plan to achieve your goals

# Logging On To The Self Assessment Tool

**ARMA**  
INTERNATIONAL

Welcome  
Definitions  
Self Assessment  
Level 1 ▶  
Level 2 ▶  
Level 3 ▶  
Level 4 ▶  
Gap Analysis  
Level 1  
Level 2  
Level 3  
Level 4  
Contact Us

[Logout](#) nick.delarentis.gmkj@statefarm.com [Close](#)

## Where's Your Career Headed?

### ARMA International's RIM Self-Assessment

helps you get excited about your career!

**Welcome to the RIM Self Assessment!**

The challenge for any professional is to recognize when new competencies need to be learned — and to make sure core competencies continue to meet the current needs of the marketplace. ARMA International developed the RIM Self Assessment to help RIM Professionals identify and target their professional and educational needs.

This professional development tool is designed to help you assess your RIM competencies and develop a professional development plan.

The RIM Self Assessment can be used to:

- Confirm your strengths
- Identify where growth is needed to make you a better RIM practitioner
- Identify learning opportunities to improve your knowledge and skills
- Structure a job performance evaluation
- Build a professional development plan
- Gain insights and strategies to make a career move

To receive your copy of the RIM Core Competencies, please visit the [ARMA Web Site](#).

**Step 1: Assess Your Competencies**  
Assess your current proficiency for each competency within the level you select.

Select your current level of competency

**Level 1:** 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.

**Step 2: Review Your Gap Analysis**  
The Gap Analysis provides you with a report outlining your strengths and weaknesses related to the RIM competencies.

**Step 3: Create Your Professional Development Plan**  
Once you have received your gap analysis report, review the resources associated with your areas for development. Create a Professional Development Plan by setting both short and long-term career and training goals based on your assessment results.

**Step 4: Take Action**  
Finally, create an Action Plan to achieve your goals. This detailed plan will guide your professional development process.

Use the Menu on the left to guide you through this tool.

Set your Level and Click “Begin Assessment”

# Example Of Assessment Questions

## Self Assessment

### Level 3, RIM Practices (Domain 2 of 6)

You do not have to complete the entire Self Assessment at one time. However, we do suggest that you complete an entire domain at one time as those competencies are related.

#### Directions:

Complete the proficiency ratings for each task statement on the following pages by reviewing the legend then selecting your star rating. To identify the knowledge and skills needed to successfully perform a task, click on the Show Details image.

#### Show Legend

Previous

Next

1. Implement systems in compliance with RIM requirements based on an organizational needs analysis.

🚫 ⭐⭐⭐⭐⭐ 5 - Complete Proficiency

Show Details

2. Develop comprehensive procedures to document organizational RIM practices.

🚫 ⭐⭐⭐⭐⭐ 5 - Complete Proficiency

Show Details

3. Create and implement records retention policies and schedules.

🚫 ⭐⭐⭐⭐☆ 4 - High Proficiency

Show Details

4. Manage records retention and disposition in compliance with RIM program policy, legal and regulatory requirements, and business needs.

🚫 ⭐⭐⭐⭐⭐ 5 - Complete Proficiency

Show Details

Rate yourself  
on each task  
statement

# How Do You Know What To Do?

Rating	Description
☒ ☆☆☆☆☆ 0 - Not Applicable	This task is not relevant to me.
☒ ☆☆☆☆☆ 1 - Little or No Proficiency	This is a new task or skill for me.
☒ ☆☆☆☆☆ 2 - Low Proficiency	I have some experience with this task but limited knowledge and skills.
☒ ☆☆☆☆☆ 3 - Moderate Proficiency	I can perform this task fairly well based on past experience and can demonstrate several of the knowledge
☒ ☆☆☆☆☆ 4 - High Proficiency	I can perform this task very well based on past experiences and can demonstrate most of the knowledge
☒ ☆☆☆☆☆ 5 - Complete Proficiency	I am fully competent to perform this task.

Click "Show Legend"

☒ ☆☆☆☆☆ 5 - Complete Proficiency **Hide Details**

**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

Click "Show Details"

# Finding Your Gaps

Leadership Avg: ★★★★★ 100% Complete

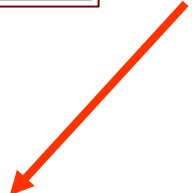
Task Statement	Your Rating	Resource
1. Champion projects by communicating with, and marketing to, stakeholders consistent with organizational goals and objectives.	★★★★★	<a href="#">4 Resources</a>
2. Foster effectiveness during changes in tasks, work environment, or conditions affecting the organization.	★★★★★	<a href="#">3 Resources</a>
3. Manage and mediate conflict.	★★★★★	<a href="#">4 Resources</a>
4. Empower others through leadership and training to maximize the potential of the RIM professional and create a positive work environment.	★★★★★	<a href="#">6 Resources</a>
5. Foster and encourage team behaviors to achieve organizational goals.	★★★★★	<a href="#">7 Resources</a>
6. Evaluate RIM staff career development plans through periodic reviews and provide mentoring to improve staff effectiveness and skills.	★★★★★	<a href="#">2 Resources</a>

Click to See Resources

Educational Resources			
Level of Coverage	Title	Author	Format
Extensively Details	Implementing Electronic Records Management Without Upsetting Users	ARMA	Conference
Moderately Details	Global Records Management - The P&G Story	ARMA	Conference

Informational Resources			
Level of Coverage	Title	Author	Format
Moderately Details	<a href="#">(2007IMJ) Evolving the Records Management Culture: From Ad Hoc to Adherence</a>	Patricia Daum, CRM	IMJ Article
Moderately Details	<a href="#">(2007IMJ) Does Your RIM Program Need a Strategic Alignment</a>	Alan A. Andolsen, CMC, CRM	IMJ Article



# The ARMA Competency Model

- Helps ARMA members measure their own levels of professional skill
- But, how can you use a competency model to develop your RIM team?

# The Foley & Lardner Records Management Career Path

- Inspired by the ARMA competency project
- I used this idea to build a competency model for the records team at Foley

# A Little About RIM At Foley

- 2001
  - No firm-wide records management program
- 2009
  - Firm wide processes, systems, policies and tools to manage physical and electronic records
- 18 domestic offices
- 1,000 attorneys
- 1 National Records Manager
- 5 Regional Records Managers
- 60 Records Management staff

# The RIM Career Path At Foley

- Foley “Levels”
  - Similar to ARMA model, but a little more granular
  - Two major job tracks, with several jobs in each track
- Foley “Domains”
  - A competency “pyramid”
- Assessment
  - Tools that allow assessment of staff applying for promotion
- Ensures that each office at Foley is served by RIM staff with a core set of skills and competencies
- Ensures that all RIM staff at Foley have an opportunity to become RIM professionals

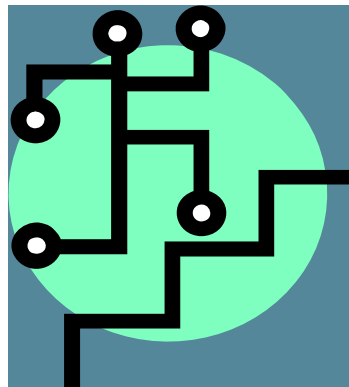
# Career Tracks At Foley (“Levels”)

## ■ Functional Track

- Records Specialist I (Entry Level)
- Records Specialist II (Intermediate)
- Senior Records Specialist (Most Experienced)

## ■ Leadership Track

- Coordinator (Team Leader)
- Supervisor (HR responsibilities)
- Regional Records Manager (Most advanced)



# The Foley Competency Pyramid ("Domains")



# The Pyramid

- More granular than ARMA domains
- Same concept
  - Each level (job title) is expected to have some skills/knowledge for each competency on the pyramid

# Foley Version Of “Task Statements”

- A matrix for each competency that shows the skill level for each job title

# Competency Comparison: Subject Matter Skills/Records Management

<b>Records Specialist I</b>	Entry level: Assemble folders, circulation, filing, pick up and deliver Learns policies and processes
<b>Records Specialist II</b>	Know RS I tasks; perform as needed Add: classification; coding; file transfer tasks; IP audits; IP mail matching; offsite processing Understand policies and processes
<b>Senior Records Specialist</b>	Know RS I and II tasks; performs as needed All records retention tasks and file transfer teams Mastery of policies and processes
<b>Records Coordinator</b>	Expert on all records management tasks; is a working leader Expert on policies and processes
<b>Records Supervisor</b>	Expert on all records management tasks; is a working leader Expert on policies and processes
<b>Records Manager</b>	Expert on Foley records management Expert on legal records management

# Competency Comparison: Technology Skills

<b>Records Specialist I</b>	Learn system functionality: records systems and Firm applications
<b>Records Specialist II</b>	Expanded use and proficiency in all tools to accomplish tasks and communicate
<b>Senior Records Specialist</b>	Extensive use to do job, communicate, troubleshoot and research
<b>Records Coordinator</b>	Extensive use to do job, communicate, troubleshoot and research Ensure appropriate use of technology by staff
<b>Records Supervisor</b>	Extensive use to do job, communicate, troubleshoot and research Ensure appropriate use of technology by staff
<b>Records Manager</b>	Extensive use to do job, communicate, troubleshoot and research Ensure appropriate use of technology by staff Understand data structure and integration

# Competency Comparison: Management Skills

<b>Records Specialist I</b>	Get along with co-workers
<b>Records Specialist II</b>	Get along with co-workers
<b>Senior Records Specialist</b>	Begin to lead task teams
<b>Records Coordinator</b>	Coordinate staff and activities Provide feedback re hiring, coaching and evaluations
<b>Records Supervisor</b>	Supervise staff and activities Actively participate in hiring, coaching and evaluations Exposed to HR processes
<b>Records Manager</b>	Manage staff and activities Conduct hiring, coaching and evaluation activities (in partnership with local HR) Know HR processes Exposed to grading and compensation processes

# How Does Staff Promote?

- Functional jobs are self promoting
  - No vacancy is necessary
- Leadership job promotion is based on a vacancy
- In all cases, staff applicants are assessed on knowledge and skills to determine readiness for promotion

# Assessment Process

- Individual who meets basic job criteria may indicate desire to promote no later than 90 days before annual performance evaluation
- Manager performs
  - Work Product Evaluation
  - Knowledge Assessment
- If applicant demonstrates skills and knowledge sufficient for promotion
  - Individual is promoted
  - Manager creates training plan
- If applicant does not demonstrate skills and knowledge sufficient for promotion
  - Manager creates development plan for applicant
  - Is eligible to re-apply 3 month before next performance evaluation

# Career Path Tools

- Job descriptions and postings
- For the applicants
  - Employee Development & Growth Process
    - Verbal description of the evaluation and assessment process  
Information for Applicant
    - For each position, skills, knowledge and competency to be promoted
- For the individual performing the assessment
  - Work Product Evaluation Checklist
  - Assessment Questionnaire (applicant articulates understanding of current job)

# How Did We Implement It?

- Created the tools
  - Took 2 years
- Assessed all current RIM staff below the manager's level
  - Some promoted
  - Some stayed the same
  - Some were moved back and placed on performance improvement plans
- Managers assessed as part of their annual performance evaluation

# What Has Been The Reaction?

- On the whole, staff likes it
  - They have a direction, if they choose to take it
  - They know the Firm will invest resources to help them develop
  - They know we care
- Management likes it
  - They know what RIM skills really are
  - They know what each level is expected to do

# Why Do I Like It?

- We owe our staff the opportunity to develop all of the skills and knowledge they need to be complete professionals
  - RIM is important
  - There's more to the job than RIM expertise
- The competency model gives staff the chance to grow in ways many RMs in the past did not

# Competency Development Works

- It promotes RIM skills and knowledge
- It helps establish RIM as a profession with unique skills and knowledge
- It helps turn RIM *workers* into RIM *professionals*

# Questions?

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