Position Classification Flysheet for
Records and Information Management Series, 0308

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INTRODUCTION

This position classification flysheet establishes the **Records and Information Management Series, 0308,** and provides the series definition and titling instructions. In the General Schedule position classification system established under chapter 51 of title 5, United States Code, the positions addressed here are two-grade interval positions.

The term "General Schedule" or "GS" denotes the major position classification system and pay structure for white collar work in the Federal Government. Agencies that are no longer subject to chapter 51 have replaced the GS pay plan indicator with agency-unique pay plan indicators. For that reason, reference to General Schedule or GS has been omitted from this flysheet.

Coverage

This position classification flysheet covers the following occupational series: **Records and Information Management, 0308.**

Establishing the Occupational Series and Standard

Issuance of this flysheet establishes this occupational series and provides grading instructions for work covered by this series.

New Series	Action Taken
Records and Information Management, 0308	Refer to the **Administrative Analysis Grade Evaluation Guide** and **Additional Occupational Considerations** for grading criteria for positions within this series.

GENERAL SERIES DETERMINATION GUIDELINES

Determining the correct series for a position is usually apparent by reviewing its assigned duties and responsibilities and then comparing them to the series definitions and general occupational information the classification flysheet or standard provides. Generally, the classifier decides on the series for a position based on the primary work of the position, the highest level of work performed, and the paramount knowledge required to do the work of the position. In some situations, however, following this guidance may present difficulties.

When the work of a position matches more than one occupation, then use the following guidelines to determine the appropriate series for classification purposes.

- **Paramount knowledge required.** Although there may be several different kinds of work in the position, most positions will have a paramount knowledge requirement. The paramount knowledge is the most important type of subject matter knowledge or experience required to do the work.
- **Reason for the position's existence.** The primary purpose of the position or management's intent in establishing the position is a positive indicator for determining the appropriate series.
- **Organizational mission and/or function.** Positions generally align with the mission and function of the organization to which they are assigned. The organization's function is often mirrored in the organizational title and may influence the appropriate series.
- **Recruitment source.** Supervisors and managers can help by identifying the occupational series that provides the best qualified applicants to do the work. This is closely related to the paramount knowledge required.

The **Additional Occupational Considerations** section of this flysheet provides examples where the work may involve applying related knowledge and skills, but not to the extent that it warrants classification to this occupation.

For further guidance, refer to **The Classifier's Handbook**.

Official Titling Provisions

Title 5, United States Code, requires the U.S. Office of Personnel Management (OPM) to establish authorized official position titles to include a basic title (e.g., Records and Information Management Specialist) that may be appended with one or more prefixes and/or suffixes. Agencies must use the official position titles for human resources management, budget, and fiscal purposes. Instructions for assigning official position titles are provided in this section.

Supervisors and Leaders

- Add the prefix "**Supervisory**" to the basic title when the agency classifies the position as supervisory. If the position is covered by the General Schedule, refer to the **General Schedule Supervisory Guide** for additional titling information.

- Add the prefix "Lead" to the basic title when the agency classifies the position as leader. If the position is covered by the General Schedule, refer to the **General Schedule Leader Grade Evaluation Guide** for additional titling information.

Specialty or Parenthetical Titles

- Specialty titles are typically displayed in parentheses and referred to as parenthetical titles. Agencies may supplement the authorized title of Records and Information Management Specialist with agency established parenthetical titles if necessary for recruitment or other human resources needs.

- Use the basic title without a parenthetical or specialty title for positions where there is no established specialty.

Organizational Titles

Organizational and functional titles do not replace, but rather complement, official position titles. Agencies may establish organizational and functional titles for internal administration, public convenience, program management, or similar purposes. Examples of organizational titles are Branch Chief or Division Chief. An example of a functional title is Records and Information Management Officer or Records and Information Manager.

RECORDS AND INFORMATION MANAGEMENT, 0308	**Qualification Standard**

Series Definition	This series includes positions which supervise, lead, or perform records information management work which includes planning, controlling, directing, organizing, training, promoting, and other activities involved with respect to records creation, records maintenance and use, and disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government and effective and economical management of agency operations. (See **36 CFR 1220.18**) The work requires knowledge of: • records management laws, regulations, rules, policies and procedures; • the principles and concepts of information governance of various phases of records and information management, and • the complete records process and content management framework that supports the entire life cycle of agency records.
Titling	The basic title specified for this series is Records and Information Management Specialist.
Occupational Information	**General Occupational Information** Records and Information Management (RIM) work involves the creation, dissemination, research, storage and disposition of Federal records. Records and Information Management (RIM) Specialists formulate policy, perform strategic analysis and planning, conduct program outreach, coordinate training, develop metrics, and ensure that sound information governance and accountability measures are in place. RIM Specialists ensure compliance with Federal laws, regulations, and guidance and advise managers on any issues in this area. Additionally, RIM Specialists are familiar with agency goals, objectives, and priorities, and ensure that the RIM program supports the organization's mission and needs. Federal Records Management laws and regulations must be followed, interpreted and applied when managing Government records. Federal records are a collection or group of information collected in any format and maintained by an agency. Agency records and information, regardless of format, are either permanent or temporary. Federal records are defined in 44 U.S.C. 3301, as amended by Public Law 113-187, as including *"all recorded information regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them.* (See also 36 CFR 1222.10 for a further explanation of this definition). The RIM series does not cover positions with limited responsibilities for performing records and information management work. This series is intended to cover positions primarily responsible for the overall management of the organization's RIM program.

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RECORDS AND INFORMATION MANAGEMENT, 0308 (continued)	**Qualification Standard**

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<td rowspan="2" style="writing-mode:vertical-rl">Occupational Information (Continued)</td>
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Typical duties include:

- modernizing records management functions by managing the transition of agency paper records to electronic records;
- administering the organization's RIM program to align with the agency's business and mission needs;
- collaborating with the agency's Senior Agency Official (SAO), Freedom of Information Act (FOIA)/Privacy Act (PA), legal and other agency staff on matters relating to RIM;
- establishing and assessing RIM practices to ensure they support the principles of transparency and information sharing throughout the organization, agency and Government;
- providing advice and guidance to records liaisons and records custodians on RIM lifecycle requirements;
- working with the agency's Chief Information Officer (CIO) and/or Information Technology (IT) office on electronic recordkeeping requirements, records management applications, as well as the technology challenges of accessing and maintaining records over time;
- providing policy and governance on the use of records management tools to ensure best practices and agency compliance with Federal statutes;
- developing metrics for the organization's RIM program and ensuring sound information governance and accountability measures are in place;
- coordinating the proper disposition of records consistent with Governmentwide policies and procedures;
- developing and implementing agency or organization specific RIM processes;
- formulating records and information management policy for the organization and developing plans for policy implementation;
- representing the agency on issues related to records and information management;
- creating, conducting or coordinating records management training for agency staff;
- developing and conducting periodic RIM quality control reviews, compliance audits, risk assessments and surveys to measure the effectiveness of electronic systems and for general program improvement purposes;
- organizing records and information based on agency lines of business, and developing plans for logical filing structures, information access and training;
- analyzing RIM business processes and providing recommendations to improve workflow and create efficiencies by making use of automated tools, systems and technology; and/or
- managing essential records including the identification of such records, establishing their protection, and access in support of Continuity of Operations.

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Impact of Automation

Automation, computers, Information Technology (IT), and their widely varied applications are valuable tools for records and information management work. Automation increases the ability of RIM Specialists to perform a wide variety of tasks. RIM Specialists input, store, and retrieve data in multiple formats from various IT Systems and use those systems to access files, initiate and track projects, analyze data, and generate reports. They use the internet to search for information pertaining to assignments. Automation is also instrumental in the digital and electronic management functions within the records and information management series.

Although RIM Specialists use computers to perform basic work processes, knowledge of the rules and processes of records and information management remains the paramount subject-matter knowledge required. The kind of automation tools involved, and the skill required to use them, generally replace or supplement work methods and techniques previously performed through less technically advanced manual or machine-enhanced processes.

Although computers are used to facilitate work within this series, the use of automation itself does not change the primary purpose of the work. Proper classification of positions is based on the relevant knowledge and skills required to perform the primary duties of the position.

Additional Occupational Considerations

Some positions may include work requiring knowledge and skills typically associated with the Records and Information Management Series. However, a closer look at the work may reveal classification to this series may not be appropriate. The **General Series Determination Guidelines** section of this flysheet offers guidance on selecting the most appropriate series.

The following table provides examples of work similar to that performed in the Records and Information Management Series, 0308, but not to the extent the paramount knowledge required, the reason for the position's existence, the mission and/or function of the organization, and the recruitment sources for the best qualified candidates warrant classification to this series. For further guidance, refer to OPM's publication **The Classifier's Handbook.**

If Work Involves…	See This Standard or Series Definition:
The development and implementation of policies, procedures, standards, training, and methods for identifying and protecting information, personnel, property, facilities, operations, or material from unauthorized disclosure, misuse, theft, assault, vandalism, espionage, sabotage, or loss.	**Security and Administration Series, 0080**
Maintaining personnel records in connection with Human Resources (HR) assistance work that requires knowledge of civilian and/or military HR terminology, requirements, procedures, operations, functions, and regulatory policy and procedural requirements applicable to HR transactions.	**Human Resources Assistance Series, 0203**
Performing clerical, assistant, or technician work for which no other series is appropriate. The work requires knowledge of the procedures and technique involved in carrying out the work of an organization and involves application of procedures and practices within the framework of established guidelines.	**Miscellaneous Clerk and Assistant Series, 0303**
Interpreting and applying FOIA/Privacy Act laws, regulations, policies, and guidance to provide access to Federal agency records and information, while ensuring protected information is appropriately disclosed.	**Government Information Series, 0306**
Providing or obtaining a variety of management services essential to the direction and operation of an organization.	**Administrative Officer Series, 0341**

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If Work Involves…	See This Standard or Series Definition:
Supervising, directing, or planning and coordinating a variety of service functions that are principally work-supporting. Such service functions include communications, procurement of administrative supplies and equipment, printing, reproduction, property management, space management, limited records management, mail service, facilities and equipment maintenance, and transportation.	**Support Services Administration Series, 0342**
Applying substantive knowledge of agency programs and activities; agency mission, policies, and objectives; management principles and processes; and analytical and evaluative methods as they relate to the evaluation of Government programs and operations.	**Management and Program Analysis Series, 0343**
Performing clerical and technical work in support of management analysis and program analysis, the purposes of which are to evaluate and improve the efficiency, effectiveness, and productivity of organizations and programs.	**Management and Program Clerical and Assistance Series, 0344**
Managing, advising on, preserving, analyzing, and supervising the use of diagnostic and therapeutic medical records.	**Medical Records Administration Series, 0669**
Supervising, leading, or performing support work in connection with processing and maintaining medical records for compliance with regulatory requirements.	**Medical Records Technician Series, 0675**
Performing assistance work requiring extensive searches of legal records, references, or historical material that requires knowledge of comprehensive legal regulations; evaluating records in relation to legal requirements, establishing, maintaining, and closing case files or systems of legal records, and similar one-grade interval legal and kindred work.	**Assistance Work in the Legal and Kindred Group, 0900**
Applying professional knowledge of the theories, objectives, principles, and techniques of librarianship, to select, organize, preserve, access, and disseminate information.	**Librarian Series, 1410**

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If Work Involves…	See This Standard or Series Definition:
Performing professional archival work in appraising, accessioning, arranging, describing, preserving, publishing or providing reference service from public records and historic documents, requiring a professional knowledge of archival principles and techniques, professional knowledge of history, and a thorough understanding of the needs, methods and techniques for scholarly research.	**Archivist Series, 1420**
Performing non-professional, technical work in accessioning, arranging, describing, preserving, using, and disposing of archives, non-current records, and related material kept in record and manuscript depositories, requiring a practical knowledge of archival methods, procedures, and techniques.	**Archives Technician Series, 1421**
Managing, supervising, leading, administering, developing, delivering, and supporting IT systems and services, and requires knowledge of IT principles, concepts, and methods.	**Information Technology Management Series, 2210**

Crosswalk to the Standard Occupational Classification

The Office of Management and Budget (OMB) requires all Federal agencies that collect occupational data use the Standard Occupational Classification (SOC) system for statistical data reporting purposes. The Bureau of Labor Statistics uses SOC codes for the National Compensation Survey and other statistical reporting. OPM and other Federal agencies maintain a "crosswalk" between OPM authorized occupational series and the SOC codes to serve this need. This requirement and these SOC codes have no effect on the administration of any Federal human resources management system. The information in this table is for information only and has no direct impact on classifying positions covered by this series. The SOC codes shown here generally apply only to non-supervisory positions in this occupation. As changes occur to the SOC codes, OPM will update this table. More information about SOC is available at **http://stats.bls.gov/soc**.

Federal Occupational Series and Position Title
and the Related Standard Occupational Classification System Code

Federal Occupational Series	Standard Occupational Classification Code Based on Occupational Series		Position Title	Standard Occupational Classification Code Based on Position Title	
Records and Information Management, 0308	11-3011	Administrative Services Managers, All Others	Records and Information Management Specialist	11-3011	Administrative Services Managers, All Others

GRADING INSTRUCTIONS

This flysheet does not provide occupation-specific grading criteria.

Use the **Administrative Analysis Grade Evaluation Guide's** grading criteria to evaluate General Schedule positions in this series at the GS-09 or above levels.

Users should not seek a one-to-one correspondence between the duties of a particular position and the factor level descriptions and work illustrations in the guide. Instead, users should strive to match the intent of the various factor levels and seek to locate concepts and examples which are comparable.

For trainees and developmental positions at GS-05 and GS-07, follow the guidance provided in the **Introduction to the Position Classification Standards**. Other standards may be used in conjunction with this standard or independently, as appropriate, depending on the nature of the work.

Evaluate leader positions using the **General Schedule Leader Grade Evaluation Guide**.

Evaluate supervisory positions using the criteria in the **General Schedule Supervisory Guide**.

APPENDIX A –
HISTORICAL RECORD AND EXPLANATORY MATERIAL

This appendix describes the development of this Position Classification Flysheet for the Records and Information Management Series. This section will highlight some key dates and milestones and provide information about the focus groups and addresses concerns expressed by reviewing agencies.

KEY DATES AND MILESTONES

On November 28, 2011**,** President Obama signed the Presidential Memorandum – Managing Government Records (**http://www.whitehouse.gov/the-press-office/2011/11/28/presidential-memorandum-managing-government-records**). This memorandum marked the beginning of an Executive Branch-wide effort to reform records management policies and practices and to develop a 21st-century framework for the management of Government records. The goal of this initiative is to improve records management and promote openness and accountability by better documenting agency actions and decisions.

On August 24, 2012, the Office of Management and Budget along with the National Archives and Records Administration issued a government-wide directive (**http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf**) identifying specific actions that should be completed to satisfy the requirements of the Presidential Memorandum– Managing Government Records.

By December 31, 2013, the U.S. Office of Personnel Management (OPM) was directed to establish a formal records management occupational series to elevate records management roles, responsibilities and skill sets for agency records officers and other records professionals.

In July 2013, OPM notified agencies of a project to develop an occupational series for administrative records management work. Multiple agency subject matter experts were invited to participate in OPM's Classification and Assessment Policy focus groups to discuss records management work. The purpose of the focus groups was to discuss agencies' current experiences classifying these types of positions and hiring for this type of work.

July 30, 2013, marked the beginning of OPM's multiple focus groups held with participants from various Federal agencies. Subsequent focus groups were held on August 1, 2013 and August 8, 2013. These focus groups were an important step in the information gathering process. In consultation with the Federal agency focus group participants, OPM established the draft Records Management Flysheet for classifying records management work.

December 31, 2013, OPM issued the Draft Classification Flysheet for the Records and Information Management Series, 0308. Agencies were asked to test/apply the draft and answer three specific questions. Several agencies requested an extension to submit comments on the draft. OPM extended the agency comment period to March 10, 2014.

RESULTS OF AGENCY REVIEW, COMMENT, AND TEST APPLICATION

Agencies reviewed the content of the Flysheet and tested the proposed grading or functional guide, the Administrative Analysis Grade Evaluation Guide (AAGEG) on position descriptions covering RIM employees and reported no significant grade impact. Therefore, we anticipate no change to the grades of properly classified positions as a result of application of the AAGEG.

When we issued the draft Flysheet, we requested agency comments on the adequacy of the Flysheet. A summary of major agency comments and our responses follows.

1. **Occupational Information**

Agency Comment: One agency commented that the occupational information was appropriate, but not sufficient. Specifically, the Flysheet did not focus on modernizing records management and on the issues of electronic records and training. Another agency commented that the occupational information was not sufficient or fully appropriate. A couple of agency's suggested rewriting the occupational information to include the legal definition for agency records.

OPM Response: We have revised the occupational information to include language that addresses the modernization of records management and electronic records and training. In addition, we included the legal definition of agency records and revised the typical duties to encompass the work of RIM Specialists government wide.

2. **Occupational Title**

Agency Comments: A few agencies recommended that we include "analyst" in the basic title for the occupational series. A couple of agencies recommended revising the basic title to "Records and Information Management Specialist" to better reflect the basic work performed. We also received comments from agencies to include the titles "Records and Information Management Officer" and "Records and Information Manager" as part of the Flysheet titling guidance.

OPM Response: We considered agency comments and changed the basic title to "Records and Information Management Specialist". Upon review of this request and based on consistency across Government, we found that "specialist" is appropriate for this occupation. In addition, we agreed that adding "information" to the basic title further details the work performed in this series. As provided in the **Introduction to Position Classification Standards** titles should be consistent with the occupational series titles established by OPM; for example, positions in occupational series involving analytical, clerical, examining or investigating work should be titled analyst, clerk, examiner, or investigator (p. 14). The work of this occupation has analytical responsibilities, but not to degree that the title of "analyst" is appropriate.

The **Official Titling Provisions** (p. 4) of this Flysheet includes under "**Organizational Title**" the titles Records and Information Management Officer and Records and Information Manager which may be used for titling positions performing higher levels of records and information management work.

3. Grading Criteria

Agency Comments: Most agencies commented that the grading criteria, AAGEG, are appropriate for evaluating records and information management work. A few agencies commented that the AAGEG was not appropriate for evaluating records and information management positions. One agency requested that the grading criteria language be revised to mirror the language included in other recent flysheet issuances that use the AAGEG (e.g. 0089 series).

OPM Response: We agreed that the AAGEG is appropriate for evaluating records and information management work. Based on agencies who test applied the AAGEG for their RIM positions there were no downgrades or major impact. We revised the grading criteria language to align with the language included in recent flysheet issuances.