

# ARMail

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## Choosing an EDRM Solution: Corporate Requirements or Ease of Use?

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A TOWER Software White Paper

With the increase in legislation and standards over recent years concerning the implementation of electronic document and records management (EDRM) solutions, organizations today face a real challenge. When choosing an EDRM platform, should the primary focus be how well it addresses an organization's corporate requirements or how easily an organization can adopt its use?

Considering the ever-increasing flow of electronic information, maintaining a balance between the needs of the organization and those of its staff is often a daunting task. Organizations are required by law to ensure EDRM systems have the

capability to apply business rules including the management and retention of both physical and electronic documents. Staff want to use a solution which is both intuitive and familiar. Of equal importance is the need for staff to complete the job they are employed to do. To discount either set of requirements is a recipe for disaster.

The requirement to meet standards such as the Sarbanes-Oxley Act and other governing measures cannot be ignored. After much research they have been designed to ensure:

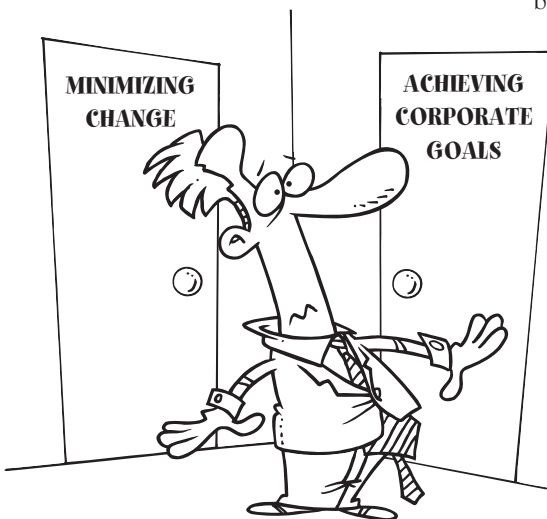
- Authenticity
- Accountability
- Integrity
- Protection of shareholders
- Retention
- Relational links

Organizations use information to conduct business and support business processes. This information becomes the evidence of how organizations conduct their business and make decisions.

Clearly, therefore, there is a strong need for an EDRM solution that will allow the organization to fully meet its legal obligations, both as required by law, and as may be required by its internal practices. An EDRM solution that does not ensure the organization meets its obligations creates only the impression of

*Continued on page 4*

*The difficulty of achieving a compromise between the desires of the staff (minimizing change) and those of the organization (achieving corporate goals) cannot be underestimated.*



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Cornell University, 607-255-9524 (f)  
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Jlewis@herkimerarc.org

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**CENTRAL NEW YORK WEB SITE**

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**Message from the President • Eileen Keating**

**Records Management Principles Behind an  
Electronic Documents Managing System:**

**Do They Always Exist?**



The one topic that comes up often when I meet with people across campus concerns managing electronic records. Many people know about the software programs that exist, which promise to encompass records management principles, but do they? As records managers we need to know all the questions to ask when looking at various systems that are available. What are the needs of our institutions and can the systems out there meet those needs?

For example, we have to question the way some vendors use the word "archiving." Their definition would not be the one an archivist would use, and that is an important distinction. Those of you who attended the last ARMA meeting at Cornell heard about DSpace, and you also heard the speaker Marcy Rosenkrantz say that although material is being put in a central repository and it is being indexed, Cornell can not promise that DSpace is an archives, the way Kroch Library is for books, photographs, and manuscripts. For Cornell University and most academic institutions, archiving means more than retaining records for several years. Getting the material scanned and indexed is the easy

part; it is preserving it for hundreds of years that is the challenge.

Although I am hopeful that clients of electronic document management systems (EDMS) are forcing the industry to incorporate records management (RM) into their systems, we have all been to the demonstrations where the statement is made that storage is cheap, so there is no need to worry about retention. It is at these sessions that I hope records managers have been invited, so they can raise their hands and tell the horror stories concerning litigation. I know many of you could share stories about what the process was/is like when your companies/institutions look into purchasing electronic document management systems. I am hopeful that the developers of these systems are interested in our experiences and listen to our voices. We are out in the field and know the needs of our clientele and we have something to say.

Please plan on coming to our June 22nd meeting to hear Paul Bauman from Tower Software. The needs of the consumer are beginning to be heard in the industry and Paul will talk about how RM and EDMS are now converging.

**Attend an ARMA Meeting and be a Winner!**



April meeting winner Dianne Hagan and her chocolate bonanza from Speech Candy Company

Remember, you can get even more value out of attending CNY ARMA meetings...

CNY ARMA continues to raffle off great gifts at each meeting. All you need do is attend a CNY ARMA meeting and put your name in the drawing. One winner is chosen at each meeting to receive a wonderful gift from a Syracuse-area business. PLUS – all names from attendees at each meeting will be kept for a final drawing at our end-of-year meeting on June 22. The grand prize drawing is for a Mid-Lakes Navigation Dinner Cruise on Skaneateles Lake.

CNY ARMA extends its thanks to Dave Langevin for arranging for these great raffle gifts.





## Meeting in Review

April 21, 2004 • Cornell University

About 20 records professionals joined CNY ARMA at our April meeting at Cornell University learning about various digital initiatives and the USA PATRIOT Act.

The morning session featured Tracy Mitrano, Policy Advisor and Director of the University Computer Policy and Law



CNY ARMA President Eileen Keating (l.) thanks Tracy Mitrano of Cornell after her talk

Program for the Office of Information Technologies at Cornell. She spoke on The Patriot Act and what we as records and information managers should be aware of.

The afternoon session featured three additional speakers from Cornell University: Teresa Ehling, Director of Electronic Publishing; Marcy E. Rosenkrantz, Director of Library Systems in the Library's Division of Digital Library and Information

Technologies; and Susette Newberry, Coordinator of Public Programs for the Division of Rare and Manuscript Collections. We learned about Dspace, a digital repository used to capture different types of works such as theses, book chapters and images. We also heard about Project Euclid, a Library initiative for the delivery of serial literature in mathematics and statistics from publishers.



Cornell University speakers (l. to r.), Susette Newberry, Marcy E. Rosenkrantz, Teresa Ehling

## 2004–2005 CNY ARMA Election Results

*Congratulations to this year's Officers & Board Members!*

**President** – Eileen Keating, Cornell University

**Treasurer** – Ed Galvin, Syracuse University

**Secretary** – Carol Compton, Bristol-Myers Squibb

**Immediate Past President** – Dianne Liuzzi Hagan, Carrier Corporation

### Board Members:

Laura Finkel, Cornell University

Patricia Franks, Broome Community College

Steve Goodfellow, Access Systems, Inc.

Dave Langevin, Iron Mountain Records Management

Jackie Lewis, Herkimer Area Resource Center

Pat Markley, Siena College

**Chapter Member of the Year:** It's confidential! Join us at the June 22nd meeting to find out who will receive this year's Chapter Member of the Year Award!

Suzanne Etherington has decided to step down from our Board. We thank Suzanne for her dedication to our chapter as a Board Member since 1998. Suzanne has been a strong asset to our chapter and her contributions to our Board will be missed. But, we look forward to still seeing Suzanne and tapping into her expertise at our upcoming meetings!

We welcome Pat Markley and Laura Finkel to our board.

Special thanks to Eileen Keating, Ed Galvin, and Carol Compton for agreeing to continue in their officer roles for another year. And to Dianne Hagan, Patricia Franks, Steve Goodfellow, Dave Langevin, and Jackie Lewis for continuing to serve on the Board. It is dedication such as evidenced by each of you that keeps our chapter strong!

**ICRM**

by Holly Murphy, CRM

As I write this, spring has definitely sprung! The sun is shining, the temperature is rising, colors are vibrant and people are enjoying their renewed energy that this winter had frozen solid. In the spirit of this zesty re-awaking, here are some questions from the Certified Records Management Examination Handbook to test your knowledge as well as exercise your brain. Remember, to get more information about the Institute of Certified Records Managers, testing dates, and requirements go to [www.icrm.org](http://www.icrm.org).

**PART 1 Management Principles and the Records & Information Management Program**

1. In the decision-making process, which of the following is the initial step taken by a manager?
  - a. Developing alternatives.
  - b. Evaluating alternatives.
  - c. Choosing the best solution.
  - d. Implementing the decision.
  - e. None of the above.

**PART 2 Records Creation and Use**

2. The most effective method to prevent the retention of obsolete forms is to:
  - a. Limit the number of different forms that are authorized for use at one time.
  - b. Destroy the oldest forms at regular intervals.
  - c. Introduce revised forms only when the supply of the forms they are to replace is exhausted.
  - d. Examine the forms in use at periodic intervals to determine their usefulness.
  - e. Discard all forms which have not been requisitioned during the past year.

**PART 3 Records Systems, Storage, and Retrieval**

3. Which of the following is an advantage of decentralized filing?
  - a. It provides quick reference for records being used by only on unit.
  - b. It provides uniform services for all users.
  - c. It results in less duplication of personnel, equipment, supplies and space.
  - d. It assures a more consistent records disposal system.
  - e. It results in better microfilming potential

**PART 4 Records Appraisal, Retention, Protection, and Disposition**

4. In planning for records security, the records manager's primary objective is to:
  - a. Control access to proprietary or confidential information.
  - b. Insulate the organization from criminal prosecution.
  - c. Destroy incriminating evidence subsequent to the issuance of a subpoena.
  - d. Allow no one to see records after they have been removed from the originators' areas.
  - e. All of the above.

**PART 5 Facilities, Equipment, Supplies and Technology**

5. The measure of the sharpness of lines of the image on film is:
  - a. Density
  - b. Halation
  - c. Reduction Ratio
  - d. Resolution
  - e. Intensification



**Answers on page 6**

**EDRM Solution**

*Continued from page 1*

compliance without providing the actual service needed to ensure compliance with the law.

Staff uses information to complete their business activities such as freedom of information requests, management of customer queries, and formulation of policy. Ideally, staff will be given the capability to:

- Capture and retrieve information with little effort
- Find the latest information quickly
- Find complete information on a subject
- Exceed customer and shareholder expectations

The staff's need for an EDRM solution is less clear than that of the organization. In most cases the staff have been happily doing their jobs for some time without such a solution, consequently they may not see the benefits it can offer them. To ensure staff enthusiasm for the project, management may decide to involve them in the system selection process. However, this path is a dangerous one. Staff often are more concerned with selecting a solution that will cause them minimal disruption rather than meeting organizational needs. As a wise man once stated, "Even a friend advises in his interest, not yours."

An ideal solution would enable the organization to meet all of these needs, the legislative, corporate, and individual without compromise. Inevitably, however, the system will require a level of compromise between these conflicting needs. No system that meets the individual's desire for no change will be able to meet the organization's need for systematic information management.

Over recent years there have been a number of poor corporate implementations of business applications—solutions focused on issues relating to EDRM, HR and finance. An example of this is the continual struggle to implement an improved passport and visa processing system within Immigration and National Development. As a result, a conservative

*Continued on page 6*





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**EDRM Solution**  
*Continued from page 4*

approach to new corporate application implementations is becoming the norm.

In some cases this conservative approach has resulted in pursuing the path of least resistance. For EDRM solutions, the path of least resistance model centers on a 'simple' interface for staff. This often reduces training and change management issues, but at the expense of organizational, functional, and legislative requirements. Staff appear to have become the decision makers. Not surprisingly, systems which appear to have little if any impact on current work practices are sometimes selected without any regard for the requirements of the organization. The result in such cases is the implementation of a system that doesn't meet the functional needs of the organization.

The difficulty of achieving a compromise between the desires of the staff (minimizing change) and those of the organization (achieving corporate goals) cannot be underestimated. However, it is vital that corporate decision makers understand that acceding to the staff's desire for minimal change will result in a system that fails to meet both the functional needs of the organization as well as any legislative requirements.

It should be recognized that different staff have different work practices. While infrequent users will require a very simple interface, others will require greater functionality to efficiently and effectively get the job done. A good EDRM solution should accommodate different user interface requirements and ideally allow interfaces to be configured to meet specific job requirements. It is important to understand the role staff play and to note that they will have different perceptions of what is easy and

what is not. Organizations should be looking for the 'Simple+' interfaces to ensure staff can complete their work in a timely manner.

A common mistake is to assume that the system needs to be as simple as possible to ensure wide-scale use. However, while the staff may use a simple system frequently at the beginning of a project, as time passes and they begin to understand the potential benefits, they often become frustrated with the limitations of a simple system. Eventually staff will come to see a simple system as more hindrance than help, and as such they will cease to use it.

This mistake can only be avoided with a sufficiently flexible system that allows for the simplest interface for some staff, but can be easily modified and adapted to provide greater functionality for others. The ease with which the system can be adapted is an important factor. If it is too difficult, complicated, or expensive to adapt the system to different requirements, then the solution's implementation will ultimately fail.

When selecting a corporate system it is extremely important to ensure that the system meets the overall needs of the organization. While staff may change, organizations are likely to be more stable.

Therefore, choosing a solution that contributes to long-term viability is paramount. Organizations need also to consider the longevity of solution. When selecting an application it is important to consider likely future requirements. A solution that allows an organization to grow into it should be viewed more favorably.

The implementation of a new EDRM solution will involve some change. The complexity of this change will vary from organization to organization and from staff member to staff member. For many staff, change may simply be in the way their email system interacts with the EDRM solution. Others in more legislatively obligated areas (i.e., Freedom of Information requests) may find there is a significant change to their working practices. However, ultimately they should find that the change empowers them to be more efficient and effective.




So...when choosing an EDRM platform, should the primary focus be how well it addresses an organization's corporate requirements or how easily an organization can adopt its use?

The answer is...both.

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answers to  
CRM questions  
on page 4

1.e.  
2.d.  
3.a.  
4.a.  
5.d.

TREASURER'S REPORT	
<i>Submitted by Edward L. Galvin, Treasurer May 20, 2004</i>	
	<b>Balance as of 3/10/04</b> ..... \$ 2,159.80
	<b>INCOME:</b>
	Escrow (Membership) ..... 35.00
	Escrow (Membership) ..... 105.00
	April Meeting Sponsor ..... 300.00
	April Meeting Revenue ..... 710.00
	Escrow ..... 105.00
	<b>Total Income</b> ..... \$ 1,255.00
	<b>EXPENSES:</b>
	April Meeting Expenses ..... 368.75
	Impress Pubs / April Newsletter ..... 384.55
	ImpressPubs / Ballot ..... 109.27
	<b>Total Expenses</b> ..... \$862.57
	<b>Balance as of 5/20/04</b> ..... \$ 2,552.23
	

## News from...

### CNY ARMA Member Institutions

June 10th in the Kroch Library at CORNELL UNIVERSITY is the opening of the exhibition, LIBERTY HYDE BAILEY: A Man for All Seasons. This exhibition celebrates the centennial of the New York State College of Agriculture and Life Sciences at Cornell, and the accomplishments of its first dean, the incomparable Liberty Hyde Bailey. Botanist, horticulturalist, plant breeder, traveler and plant explorer, out-standing teacher, astute and successful administrator, lobbyist, rural sociologist, prolific writer and superb editor, environmentalist, philosopher, poet, and visionary, Liberty Hyde Bailey (1858–1954) truly was a man for all seasons. Items on display include Bailey’s photographs, correspondence, manuscripts, and books, as well as artifacts on loan from the Bailey Hortorium.

Visit the exhibition online: <rmc.library.cornell.edu/bailey>.

SYRACUSE UNIVERSITY Archives and Records Management is pleased to announce that all of its recent exhibits housed in the Goldstein Alumni and Faculty Center on campus are now available on the Archives website at <archives.syr.edu/arch/exhibits.htm>.

It has been one of Archives’ goals to mount web exhibits in order to share the history of the University with those alumni and other members of the community who are not able to visit the actual exhibit.

Recently added web exhibits include the current “150 SU Commencements” as well as “Alumni Writings in the University Archives,” “The 100th Anniversary of the Daily Orange,” and “From Fraternity to Alumni: 100 Years of the Goldstein Alumni and Faculty Center.” Older Archives exhibits are also on the website including “Spirit of Tradition” from 1998 and 1997’s “Remembering the GI Bulge.”

Future exhibits will be added as they are mounted in the Goldstein Alumni and Faculty Center.

## News from...

### CNY ARMA Members

The following letter to the editor appeared in the May 14 issue of The Syracuse Post-Standard.

#### Records management a job for professionals

To the Editor:

Your article May 4, “New shredding industry is tearing up company secrets,” was a terrific report on how organizations dispose of records. It didn’t mention how organizations determine when records can be destroyed.

Records need to be retained, sometimes permanently, to comply with regulatory, legal and operational requirements. Readers might recognize Sarbanes-Oxley and HIPAA as recently approved regulations.

Each organization should have a records-retention policy that states clearly how long each record should be retained. This includes records created on all formats, from paper to computer. Then someone must manage the policy and compliance, preferably a professional records manager.

Compliance must occur at all levels of the organization, from mailroom to boardroom, to ensure records are retained and accessible, whether for daily operational needs, for audit or litigation.

Records managers have a professional association — ARMA International — that helps them develop the skills and knowledge they need. In addition to providing education, ARMA International is heavily involved in the development of standards in the United States and internationally. A local chapter brings together records-management professionals in Central New York.

Managing corporate records and information — whether in paper or electronic format — is an issue for every organization, regardless of size, industry or sector. Thank you for helping to clarify aspects of this.

Dianne Hagan  
Corporate records manager  
Carrier Corporation, East Syracuse  
Immediate past president, CNY ARMA  
Director-elect, ARMA International

### Disclaimer Notice

ARMAil is published at least five times during the fiscal year. Readership includes members of the Central New York Chapter of ARMA International, as well as interested records and information management professionals in the central New York area. The information contained in this newsletter does not necessarily reflect the views of the membership or the editor, nor is there any endorsement of advertisements or published seminar information. This newsletter is offered only as a source of information.

### Newsletter Editor:

Edward L. Galvin  
Syracuse University  
Archives and Records Management  
6th Floor, E.S. Bird Library  
Syracuse, NY 13244-2010

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