

ARMail

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Records Retention Resources Online

By Patricia C. Franks, CRM

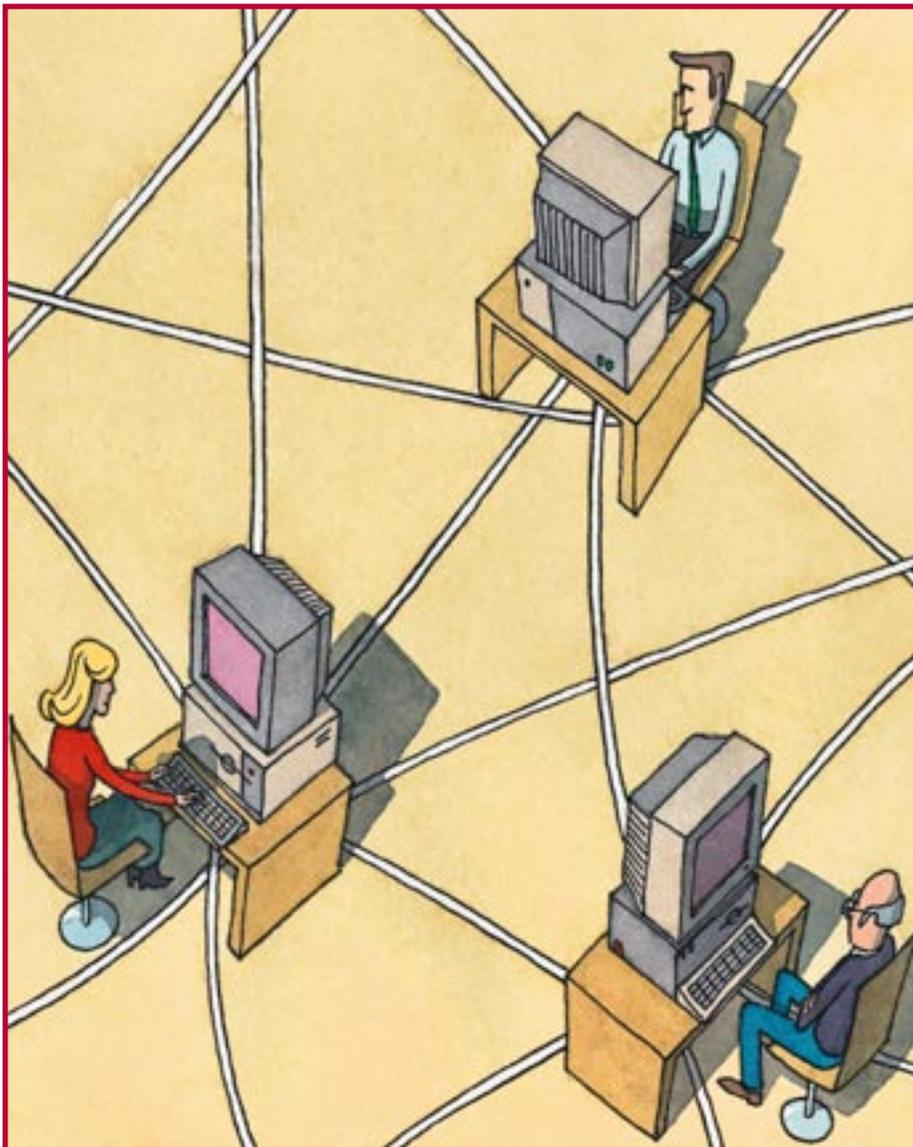


Illustration provided by Artville, LLC

An organization's records are one of its most important and valuable assets. Almost every employee is responsible for creating or maintaining records of some kind, whether in the form of paper, computer data, microfilm, electronic mail or voice-mail. Traditionally, the term "records" referred to handwritten or typewritten documents. Today, however, the sphere has broadened to include those produced in an electronic format. Letters, memoranda and contracts are obviously corporate records, but so are things such as a desk calendar, an appointment book or an expense record.

Organizations are required by law to maintain certain types of records, usually for a specified period of time. The failure to retain such documents for these minimum periods can subject an organization to penalties, fines or other sanctions or could put it at a serious disadvantage in litigation. Accordingly, every company should establish a Record Retention Policy to provide guidelines for maintaining complete and accurate records – that is, to help employees understand what records to keep and for how long, what records to dispose of, and how to dispose of them.

There is a wealth of information available online to help you create your own records retention policy and records retention and disposition schedules.

(continued on page3)

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CENTRAL NEW YORK WEB SITE

<http://archives.syr.edu/cnyarma/>

Message from the President

The Metamorphic Records Retention Schedule



Another year of new challenges lies ahead. Our summer planning meeting went well and the four meetings we have organized should interest a broad range of people. We will alternate our meeting locations in order to encompass more of central New York, which casts a wide net. Our first meeting will be in Herkimer, where we hope to attract ARMA members from the eastern part of the state, in particular the Albany area. Our chapter knows the value of networking with others in the field, so we encourage you to invite one of your colleagues to our meeting.

Every year when we survey our members, asking what topics they would like covered in the upcoming year, retention schedules is always checked. All of us have retention schedules that we follow, but today because of the proliferation of information that is out there, there are new challenges, especially when it comes to compliance.

Without mentioning names I will tell you about a real situation on this very topic. Cornell's retention schedule is on-line and recently when I checked it I noticed that the "office of record" had changed for some very important documents. No longer was one of the central administrative offices responsible for keeping this very vital information, but the "appropriate department" was now responsible. I called the Director, to let him know about this discovery, and he said that no changes had been made to the policy. About a month ago, just by chance, I printed out a copy of the retention schedule (I also dated it) and I sent him this to prove to him that yes, in fact, someone had made a change to the electronic version of the schedule. This is the disconcerting part about putting policies on-line. It is so easy to make changes and often people referring to the policies don't know when the changes have taken place. I am the records manager for the University and it is only by chance that I discovered the change. If I don't know these things are happening, I am sure the records coordinators out in the field don't either, so where does that leave compliance? How do we control this as records managers? Right now I am having a hard time convincing the responsible office, that a change was made to the policy and no one seems to know at this time who made the change.

I don't think this is an unusual case. The computer age has wrought new concerns, ones that we have to take on if we are going to continue to know and understand the record of our organizations. As records manager we always known that retention schedules should not be static, they have to continually be reviewed, but I don't think any of us anticipated changes being made so easily and without consultation. Suzanne Ethrington has the knowledge and experience to answer any and all of your questions and concerns pertaining to records retention schedules, so please plan on coming on September 21st.

Our chapter has planned an exciting year ahead and I encourage you to check our website: <http://archives.syr.edu/cnyarma/> for up to date information.

Eileen Keating, President

Records Retention Resources Online *(continued from page 1)*

Government Agencies

For federal guidelines, start with the National Archives and Records Administration (NARA) at http://www.archives.gov/about_us/index.html. In New York, general records retention and disposition schedules exist which cover the general functions of state agencies and all functions of local governments outside of New York City. State agencies can develop schedules for their unique functions following State Archives' procedures. The State Archives' website at http://www.archives.nysed.gov/a/nysaservices/ns_mgr_retention_records.shtml contains copies of general schedules and information on developing agency-specific schedules for State agencies. New York City agencies should visit the City Department of Records and Information Services (DORIS) at <http://www.nyc.gov/html/records/>.

Businesses



One way to look at creating a records retention schedule is by considering what not to do. Iron Mountain posted a

helpful article, "Ten Deadly Sins of a Corporate Records Retention Program," at http://www.ironmountain.com/resources/resource.asp?svc1_code=1&resource_key=264.

In addition, you should keep abreast of the latest laws and regulations that may affect your industry. For example, in response to the Enron debacle and other corporate scandals, Congress passed the Sarbanes-Oxley Act, which broadens the scope of documents that must be preserved to avoid an obstruction-of-justice claim. The law now provides that if a person has reason to believe that a document may be wanted by any federal agency at a later date even though no hearing or litigation is currently pending, yet destroys or alters that document, he or she can be found guilty of obstruction of justice and face fines and imprisonment up to 20 years. In addition, the Sarbanes-Oxley Act extends the period of time in which a private lawsuit for a securities-fraud claim can be brought to the earlier of two years after the discovery of the facts constituting the violation or five years after the violation. The Act also directs the United States Sentencing Commission to review and amend federal sentencing guidelines to deter and punish violations involving obstruction of justice, destruction or

alteration of records, fraud, and organizational criminal misconduct.

A copy of the Sarbanes-Oxley Act of 2002 can be found at <http://news.findlaw.com/hdocs/docs/gwbush/sarbanesoxley072302.pdf>.



Conclusion

In addition to taking advantage of the usual print documents used to create records retention policies and schedules, visit the links provided in this article. Don't rest on your laurels once you publish your records retention policy and records retention and disposal schedules. Continue to scan the environment for new laws and regulations that will impact the way you retain records. Those who prepare for discovery requests in advance are better able to present a confident, consistent response when documents must be produced.



Congratulations



Please join us in congratulating Pat Franks for not only being chosen chapter member of the year but also for successfully earning her Certified Records Manager (CRM) designation effective July 1. Pat has a Ph.D., (A.B.D.) in Organization and Management with an emphasis in E-business; a Master of Arts degree in the Social Sciences, and a BS degree in Business Education. She is a Professor in the Business Information Technology Department at Broome Community College and has been an active Board member in our chapter, most recently serving the role of Vice-President. Pat has recently become a member of the Standards Committee for ARMA International. Well done Pat!

CRM Corner

By Patricia C. Franks, CRM



For a teacher, Fall is really the beginning of the year. It is a time to set goals and develop strategies to accomplish those goals. Several years ago, one of the goals I set for myself was to qualify for, take, and pass all 6 parts of the CRM exam. This summer I was notified that I could use the letters CRM after my name. Those of you who are already Certified Records Managers know what a great feeling it is to achieve that goal. I highly recommend it to those of you who have not yet taken the first step! Find out more about CRM certification by visiting the following website: <http://www.icrm.org>. Applications are now being taken for the May 5 & 6, 2005 exams. The questions below were taken from the handbook, "Preparing for the CRM Examination: A Handbook" available at the ICRM website.

Part I. Management Principles and the Records & Information Management Program

1. The Life Cycle concept of a record is best defined as:
 - a. controlling reproduction of records.
 - b. controlling the creation, usage, maintenance, preservation, and disposition of records.
 - c. controlling creation.
 - d. controlling disposition.
 - e. none of the above.

Part II. Records Creation and Use

2. The specific results expected from a new system are defined in the:
 - a. acceptance criteria.
 - b. project schedule.
 - c. feasibility study.
 - d. resource requirements.
 - e. functional analysis.

Part III. Records Systems, Storage, and Retrieval

3. A document filing system can best be defined as:
 - a. an indexing recall in a file.
 - b. the usage of different types of equipment and devices.
 - c. records required for documentary evidence.
 - d. an orderly, planned method of arrangement of papers and similar items.
 - e. none of the above.

Part IV. Records Appraisal, Retention, Protection and Disposition

4. Estimating disaster potential and the consequences of information loss in a vital records program is called _____ analysis.
 - a. information protection
 - b. records security
 - c. cost control
 - d. risk
 - e. contingency

Part V. Facilities, Equipment, Supplies and Technology

5. Excluding the reference cost factor, a box of records can normally be stored in a records center for _____ years before storage costs would exceed microfilm costs.
 - a. 5
 - b. 10
 - c. 15
 - d. 20
 - e. 25

Answers on page 7

Meeting In Review

Records Management & Compliance

Speaker: Mary Shimp, Tower Software

The last meeting of the year was held at the Holiday Inn on Carrier Circle in Syracuse, New York, on June 22, 2004. Mary Shimp, a represented of Tower Software, presented a seminar dealing with the compliance issues facing records and information managers.

As new legislation and corporate mandates are being passed, doing business is becoming increasingly complex. New regulations have forced many organizations into reaction mode, addressing specific legislation and mandates as they come to pass. But, with the increasing frequency and scope of these regulations, is reaction an appropriate strategy? Ms. Shimp stressed the importance and role of Records Management in an Information Management program and suggested ways the participants and their organization could stay ahead of the curve.

Central New York Chapter of ARMA, International Treasurer's Report

By Edward L. Galvin, Treasurer
August 25, 2004

Balance as of 5/20/04 \$ 2552.23

INCOME:

April Meeting Revenue (<i>Addition</i>)	\$ 45.00
Escrow (<i>Membership</i>)	\$ 175.00
June Meeting Revenue	\$ 495.00
Advertising - Iron Mountain	\$ 1500.00
Escrow (<i>Membership</i>)	\$ 175.00
June Meeting Sponsor	\$ 300.00
Escrow (<i>Membership</i>)	\$ 140.00
\$2830.00	

EXPENSES:

Plaque/Certificate/Gift	\$ 75.00
ARMA NE Region Leadership Meeting	\$ 240.00
Impress Pubs/June Newsletter	\$ 290.27
Gift for D. Hagan, ARMA Director	\$ 33.78
June Meeting Expenses	\$ 510.68
ARMA Annual Meeting-E. Keating	\$ 600.00
Summer Planning Meeting	\$ 150.00
\$ 1899.73	

Balance as of 8/25/04 \$ 3482.50



*Reduced costs
by moving
records off-site.*



*Prevented lawsuit
by ensuring
regulatory compliance.*



*Recovered critical
data using electronic
vaulting strategy.*



*Protected
competitive
advantage with
secure shredding.*

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“RIM: Bringing Retention Policies into the 21st Century”

Tuesday, September 21, 2004

Herkimer Area Resource Center-350 S. Washington St., Herkimer, New York

Speaker: Suzanne Etherington, Ph.D.,
Regional Advisory Officer, New York State Archives & Records Administration

If you're struggling to bring your records retention policy in line with the needs of your organization, this workshop is for you. Dr. Etherington is an expert in the field of archives and records retention. She'll provide practical suggestions to help you respond to today's compliance challenges and to help you maintain 'intellectual control' over your organizations' information assets, no matter their format, volume, or use. Cost-effective and user-friendly controls will be recommended. Both valuable (needs to be retained) and valueless (short-term retention items that would be more cost effective to purge) records will be discussed and appropriate methods of handling those records will be identified.

Description of Presentation

In view of the Forrester report that ARMA was involved with, we have to ensure that as records and information managers we are valuable contributors to our organizations. We are faced with many complicated questions. How do we respond to the challenges in the workplace today and ensure our companies and policies are in compliance and that we will maintain 'intellectual control' over our organizations' information assets, no matter their format, volume or use? How do we impose that control in cost effective and user effective ways? How do we ensure our policy responds appropriately to the proliferation of information, both valuable (needs to be retained) and valueless (short-term retention items that it would be more cost effective to purge)? This workshop will help us answer these questions and ensure that our retention policies are in line with the needs of our organization.



Agenda

- 10:30 A.M. Board Meeting
- 11:30 A.M. Meeting Registration
- 12:00 P.M. Lunch
- 1:00 P.M. Program Begins

Registration

By Friday, September 17, 2004

Call or email Jackie Lewis

Phone: 315-866-2920

Email: jlewis@herkimerarc.org

Cost

\$25 ARMA members

\$30 Nonmembers

Brief Biographical Profile

Suzanne Etherington

Suzanne Etherington, Ph.D., has been the New York State Archives & Records Administration Government Records Regional Advisory Officer for the ten county area designated as Region 6 since 1996. Prior to that appointment, she was an archival and records management consultant whose clients included the National Park Service, a range of government agencies, private corporations, and historical organizations. Before that she was Director of Library and Archives for the Onondaga Historical Association in Syracuse. Earlier archival experience includes Preservation Coordinator for the Syracuse University Libraries and Senior Assistant Archivist at Cornell University's New York Historical Resources Center.

Etherington lives in Cortland where she teaches a New York State History course at SUNY Cortland. She holds a doctorate in history from Syracuse University, where she also taught history and archives/records management courses as an adjunct instructor. She also has a Master's degree in history from the University of Rochester. Etherington has presented workshops and papers at state and national conferences on archives, records management and historical topics. Publications include the *Guide To Women's Papers At The Seneca Falls Historical Society*, *'American Immigration and the Ethnic Resorts of the Catskills'*, in *The Best of Both Worlds: The Ethnic Resorts of the Catskills*, and *Catskills Ethnic Resorts: A Guide to Records*. She has served on the board of the Central New York chapter of ARMA, and the Upstate Historical Alliance.

Directions

To Herkimer Area Resource Center—350 S. Washington St., Herkimer

- Take NYS Thruway to Exit 30 (*Herkimer*)
- After passing through the toll booth, at the stop light take a right.
- Then take your second right (*Steele Street*). HARC is on your left a few blocks down (*corner of S. Washington & Steele Streets*).

From Route 5 going east

- Take Route 5 to Herkimer.
- Take a right onto South Washington Street (*State Farm Insurance will be on your right; Folts Homes on your left*).
- Travel down South Washington Street approximately 2 blocks—HARC is on your right on the corner of South Washington and Steele Streets. You will see our green and glass entrance atrium.

From Route 5 going west

- Take Route 5 to Herkimer.
- Take a left onto South Washington Street (*State Farm Insurance will be on your left; Folts Homes on your right*).
- Travel down South Washington Street approximately 2 blocks—HARC is on your right on the corner of South Washington and Steele Streets. You will see our green and glass entrance atrium.

From Route 5S going east

- Take Route 5S past MOVAC Ambulance Building, take your next left (*South Washington Street*).
- Go over the bridge and under the overpass.
- HARC will be shortly thereafter on your left. You will see our green and glass entrance atrium.

From Route 5S going west

- Take Route 5S to South Washington Street—if you pass MOVAC Ambulance, you've gone too far.
- Go over the bridge and under the overpass.
- HARC will be shortly thereafter on your left. You will see our green and glass entrance atrium.

Visitor parking is available immediately in front of 350 S. Washington Street or if that lot is full, just down S. Washington Street past three houses at 410 S. Washington Street. Phone: 315-866-2920

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.

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By sponsoring one of our five meetings this year, your company will also receive advertising space in **ARMAil** and on the ARMA CNY website. You will reach practicing Records and Information Managers who are interested in your products and services. In addition, at the meeting you will be given five minutes to speak about your company. The following are the advertising rates for the 2003-2004 fiscal year:

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Full Page ad.....	\$325/issue \$1500 for 5 issues

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Answers to CRM questions on page 4:



1. B
2. A
3. D
4. D
5. B



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