

# ARMAil

Central New York

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## Protecting Records—What the Standards Tell Us

by Virginia A. Jones, CRM

*“This is an excerpt from an article first published in the March/April 2003 issue of The Information Management Journal. ©2003 ARMA International. Reprinted with permission.”*

One of the key competencies of the records and information management (RIM) profession is the appropriate management of inactive and vital records. Efficient and protective storage procedures, tasks, and processes are important to the success of any RIM program. Records should be available for access throughout their complete life cycle, regardless of the retention value assigned. Historical records require additional processes not only to protect but also to preserve the information for future reference. Records protection is also an integral part of a vital records and disaster prevention program. National and

international standards have been developed that aid in determining the best methods, rationale, environment, and housing for protecting valuable records.

### ***Foundation for Records Protection.***

Several key standards interact one with another to form a good foundation for records protection. These standards include:

- *ISO 15489-1: Information and Documentation – Records Management – Part 1: General*
- *ISO/TR 15489-2: Information and Documentation – Records Management – Part 2: Guidelines* (although this is a technical report and not a standard, it is used in conjunction with the Part 1 standard)

As with any good investigation or analysis, these standards help resolve the who, what, when, where, and why of RIM protection. Each of the documents cover some aspect of “what” those responsibilities may be, and the meat of each of these documents covers the “when, where, and why.” In general, the primary responsibility of developing, implementing, and managing a records

and information program includes protecting records and information.

ISO 15489-1 and 15489-2 discuss the entire lifecycle program of records and information.

### ***ISO 15489-1: Information and Documentation - Records Management - Part 1: General***

Part 1 of ISO 151489 “provides guidance on managing records of originating organizations, public or private, for internal and external clients.” It specifically pertains to managing all records, in all formats and media, for the entire life cycle of the records and information. The standard describes all the elements of an adequate records management program that accurately creates, captures, and manages the records and information.

Clause 6.3 of ISO 15489-1 clearly designates records management professionals as responsible for all aspects of records management within an organization. This includes the “design, implementation, and maintenance of records systems and their operations.” Implementing measures for records and information protection is clearly a part of this responsibility.

***Key standards have been developed that aid in determining the best methods, rationale, environment, and housing for protecting valuable records.***

Continued on page 4

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**Message from the President, Patricia C. Franks**

**Standards, Technical Reports, Guidelines, and White Papers**

Are you familiar with the work of ARMA's Standards Development Committee? I wasn't until I had the opportunity to become a member last year.

So, I'd like to take this opportunity to explain a little about our work and clear up confusion over the documents we're dealing with.

The work of the SDC is to create and review documents that have direct benefit to the Records and Information Management (RIM) profession. Those documents are divided into four primary categories: Standards, Technical Reports, Guidelines, and White Papers

Standards are high-level documents that are short, concise, and identify the minimum requirements. Standards are submitted through the American National Standards Institute (ANSI), created under strict guidelines, and issued a registration number once approved.

Technical Reports are documents designed to present "how to" methodology for

implementation of standards. They are not subject to the same guidelines as standards, but they are registered with ANSI.

Guidelines are designed to provide methods and procedures used by the RIM profession to satisfy operational needs. They are created by a task force and approved for publication, but they are not submitted for ANSI certification or registration.

White papers, also known as recommended practices, differ by industry, function, or technical environment. They attempt to represent established RIM practices used to successfully achieve a "best practice" environment. They may be in the form of a case study or a compilation of resources.

ARMA is always looking for volunteers to work with the members of the Standards Development Committee. If you want more information or would like to become involved, I encourage you to visit ARMA's Standards Development page at <http://www.arma.org/standards/development/index.cfm>.

R E P O R T  O F  T H E  T R E A S U R E R	<i>Submitted by Edward L. Galvin, Treasurer</i> October 25, 2005	
	Balance as of 7/13/2004 .....	\$ 3,858.48
	INCOME:	
	Escrow (Membership) .....	70.00
	Escrow (Membership) .....	70.00
	Iron Mountain Sponsor .....	1500.00
	October Sponsor .....	300.00
	October Meeting .....	335.00
	Total Income .....	\$ 2,275.00
	EXPENSES:	
	NE Region Assessment .....	68.00
	Summer Planning Meeting .....	92.36
October Meeting .....	287.20	
P. Franks - Leadership Meeting .....	81.93	
P. Franks - ARMA Meeting .....	700.00	
Total Expenses .....	\$ 1,229.49	
Balance as of 10/25/2005 .....	\$ 4,903.99	



## Meeting in Review

# What to do When the “YOU” Has Been Stolen

**T**he Central New York Chapter of ARMA opened its first meeting of the year with a panel discussion on a topic that might raise the blood pressure a bit. The timely subject of identity theft and the perhaps less well known FACTA, Fair and Accurate Credit Transactions Act, adopted in 2003, were presented to an audience that hung on every utterance and Power Point slide.

Glenn Fitzgerald, Divisional Manager with CBCInnovis in its Western New York’s Buffalo Office, spoke from his experience as a bureau manager in the TransUnion, Experian and Equifax credit verification systems. He enlightened us about all those credit card offers we receive in the mail, how they affect our credit ratings, and how FACTA empowers us to have more control in what our credit report says. He encouraged us to become more proactive in knowing the contents of the report by keeping abreast of errors

and making sure those errors are cleared up. FACTA now allows the consumer to obtain at least one free credit report. Mr. Fitzgerald also informed us that in addition to the three aforementioned credit reporting systems there will soon be a fourth: CBCInnovis.

Agent Timothy Kirk, Resident Agent in Charge (RAIC) of the Syracuse office of the United States Secret Service (USSS) presented information that shed light on the U. S. Government’s authority in the pursuit of identity theft crimes. The USSS investigates where there is an assurance that the U. S. Attorney’s Office will prosecute the case. If there is not sufficient evidence or information, USSS will advise and direct the victim. Typically USSS does not get involved in cases that concern family members, cases where the victim is uncooperative or even obstructive, or cases with dollar losses under \$10,000. We are all advised to exhibit due diligence in our contacts with businesses and medical services that handle our personal data.



Glenn Fitzgerald of CBIInnovis and Dave Langevin, CNYARMA's Vice President



Timothy Kirk of the U.S. Secret Service receives a thank you gift from Dave.



Ed Galwin, CNYARMA treasurer and Web master, gets a pat on the back from Susan Natalie, ImageMax, for his tireless work on behalf of CNY-ARMA.



**CRM  
Corner**

The next Certified Records Managers exam is scheduled for May 4 and 5, 2006. Original applications must be postmarked by January 1, 2006, and examination applications must be postmarked by March 1, 2006. If you're wondering what the first 5 parts of the exam are like, try the questions below. They're taken from the Certified Records Management Examination Handbook. For more information about the Institute of Certified Records Managers or the CRM program, visit <http://www.icrm.org>.

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

1. Before selecting a consulting firm, the consulting firm should be asked to submit a written proposal indicating:

- a. what work will be done, how it will be done, and how long it will take.
- b. who will be in charge, how much time will be spent on the premises, and an estimate of the cost.
- c. whether a written report will be submitted.
- d. all of the above.
- e. a and c above.

**PART 2 Records Creation and Use**

2. Instructions or directions for completing forms that will not fit on the faces of the forms themselves should be placed in:

- a. the directives.
- b. other forms.
- c. letters.
- d. reports.
- e. memoranda.

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

3. File integrity deals with the:
- a. accuracy and completeness of records.
  - b. ability to lock file equipment.
  - c. degree of protection offered by fire proof file units.
  - d. method used to file information.
  - e. honesty of records personnel.

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

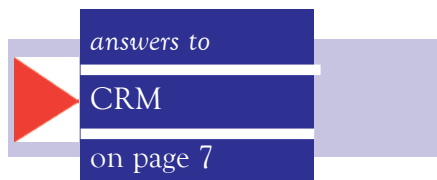
4. All of the following are methods of destruction except:
- a. maceration.
  - b. pulverization.

by Patricia C. Franks, Ph.D., CRM

- c. shredding.
- d. sectionalization.
- e. incineration.

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

5. The most common film widths used today in microfilming are:
- a. 16mm, 35mm, 105mm.
  - b. 8mm, 70mm.
  - c. 16mm, 35mm, 70mm.
  - d. 16mm, 35mm.
  - e. a and b above.



*If you're planning a RIM or Archives project, a good slogan could be very helpful. Below are a few favorites:*

- ◆ Information is power.
- ◆ Records should earn their keep.
- ◆ Records - a renewable source.
- ◆ Control your records before they control you.
- ◆ Archives are forever.
- ◆ What's past is prologue (chiseled onto the edifice of the National Archives of the US).
- ◆ The written word endures - be sure to create it and preserve it. (NARA poster).

**Protecting Records**

(Continued from page 1)

Records protection is covered in two clauses. Clause 8 – *Design and Implementation of a Records System* includes a section on storage media and protection. Section 8.3.3 – *Physical Storage Medium and Protection* requires consideration of appropriate storage environments for the record media, appropriate storage media for the required retention value of the record, appropriate handling procedures for records protection, and appropriate storage systems for the record value and media. The section also suggests that disaster preparedness is addressed to ensure that risks are identified and mitigated.

Clause 9 – *Records Management Processes and Controls* includes a section on the storage and handling of records. Section 9.6 – *Storage and Handling* sets requirements for the appropriate media, storage conditions, handling processes, accurate conversion of migration of records and the accessibility and reliability of electronic records. Records must be stored on media that ensure usability, reliability, authenticity, and preservation for the required retention value of the information.

Established storage conditions and handling processes must allow for the specific physical and chemical properties of the records media and must be designed to protect records from unauthorized access, loss, or destruction, and from theft and disaster. Higher quality storage and handling must be established for records of continuing value, irrespective of format, in order to preserve them for as long as that value exists.

Policies and guidelines for converting or migrating records from one records

Continued on page 6



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ARMA Member -- Gene Garback

**Protecting Records**  
(Continued from page 4)

system to another should be developed and implemented. Systems for electronic records should be designed so that records will remain accessible, authentic, reliable, and usable through any kind of system change for the entire period of their retention.

**ISO/TR 15489-2: Information and Documentation – Records Management – Part 2: Guidelines**

Part 2 of ISO 15489 is a technical report developed as an implementation guide to Part 1. It is intended as one recommended methodology to facilitate the implementation of Part 1 in all organizations. It gives an overview of the processes and factors to consider in organizations wishing to comply with Part 1. Clause 2.3.2 of ISO 15489-2 states that records management professionals have the primary responsibility for the implementation of ISO 15489-1.

Records protection methodologies are covered in Clause 4 – *Records Processes and Controls*.

Section 4.3.7.1 – *Record Storage Decisions* discusses the factors used to develop records storage methods and processes. Desirable results of efficient storage of records include setting storage conditions that ensure the protection, accessibility, and management of records in a cost-effective manner. This is best accomplished by determining the most efficient and effective means of maintaining, handling, and storing records throughout the life cycle of the records. The established storage choices should be integrated with the overall records management program.

Storage options should take into account access and security requirements and limitations in addition

to physical storage conditions. Records that are critical for business continuity should be incorporated into a vital records program that may set requirements for additional methods of protection and duplication to ensure accessibility of the records in the event of disaster. Other factors important in selecting storage and handling options include:

- volume and growth rate of records
- use of records
- records security
- sensitivity needs
- physical characteristics
- records use as reflected in retrieval requirements
- relative cost of record storage options
- access needs

Section 4.3.7.2 – *Facility Considerations* discusses the factors used to determine adequate and protective storage facilities. These factors include location, building structure, records housing and enclosures, and contracting storage services. The location of the storage facility should be easily accessed and should not be in areas of known external risk such as a flood plain. The structure of the facility should provide the required range and stability of temperature and humidity levels for the record media to be stored. It also should meet all fire protection requirements and afford protection against water damage. It should provide protection from contaminants (such as radioactive isotopes, toxins, and active growth mold), safety measures, controlled access to storage areas, detection systems for unauthorized entry, and appropriate protection against damage caused by insects or vermin.

Shelving must be suited to the format of the records and be strong enough to bear potential loads. Containers and packaging ought to withstand handling and pressure exerted by the contents

and should not damage the records during storage.

When using a contractor to store records and provide access to the information, it is important that service level agreements state the rights and responsibility of the record owners and the storage service provider.

Section 4.3.7.3 – *Digital Storage* discusses the storage of records in electronic form. The most common form of information protection – backup systems – should include a regular backup schedule, multiple copies on a variety of media, dispersed storage locations for the backup copies, and provision for both routine and urgent access to the backup copies. Maintenance processes may be needed to prevent physical damage to the media. Records may need to be migrated to newer versions of the same media (or other new media) to prevent data erosion. Hardware and software obsolescence may affect the readability of stored electronic records and require conversion or migration strategies as part of the records protection plan.

**Attention RIM product & service providers!**

CNY-ARMA's January issue of *ARMail* will be chock full of important information for Records and Information Managers.

January's *ARMail* will also include our first ever directory of RIM services provided by and for businesses in the Central and Southern Tier Regions of New York State.

If you want to find out how your business can be included in this issue, contact:

**David Langevin**  
315-463-6790  
Iron Mountain Records Mgmt.  
david.langevin@ironmountain.com

**BOARD SPOTLIGHT**

*Ed Becker*



My name is Ed Becker and I was born, raised, and continue to live in Little Falls, NY with my wife and 3 children.

I am employed as a sales associate with ConfiData (a Division of Empire Recycling Corp) in Utica, NY. ConfiData is a confidential destruction company which has both mobile and in-plant shredding capabilities.

I have been going to ARMA meetings for over a year now and in the winter of this year decided to become a board member. ARMA has been a good experience for me because before I started going to the meetings I only knew the destruction side of records management. The things that I have learned in the ARMA meetings help me to understand what the record managers are up against in their jobs.

I highly recommend the ARMA meetings to anyone who deals with records in their places of employment.

*Vanished Worlds, Enduring People*

Cornell University Library's Native American Collection

Cornell University Library is honored to provide a new home for the Huntington Free Library's Native American Collection, transferred to Cornell University on June 15, 2004 from its former home in the Bronx, New York. With more than 40,000 volumes and thousands of manuscripts on the aboriginal peoples of the western hemisphere, the Native American Collection is now the centerpiece of Cornell University Library's extensive holdings on American Indians. Its wide ranging array of documents support inquiry into almost any topic relating to indigenous peoples, from the pre-contact era to the present day, and spanning the hemisphere from the Arctic circle to the southern tip of South America.

*Vanished Worlds, Enduring People*, the first public exhibition of the collection at Cornell, highlights the great range and depth of the Native American Collection and reaffirms Cornell's commitment to dialogue and learning centered on native cultures.

The exhibition will be on review:

Level 2B, Carl A. Kroch Library  
 October 21 2005 - June 2, 2006  
 Gallery hours: Monday - Friday, 9 a.m. to 5 p.m. For Saturday hours, see the RMC website: <http://rmc.library.cornell.edu/>

View the online version of this exhibition at: <http://nac.library.cornell.edu/exhibition/introduction/index.html>

**Disclaimer Notice**

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Answers to  
 CRM  
 questions on  
 page 4

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



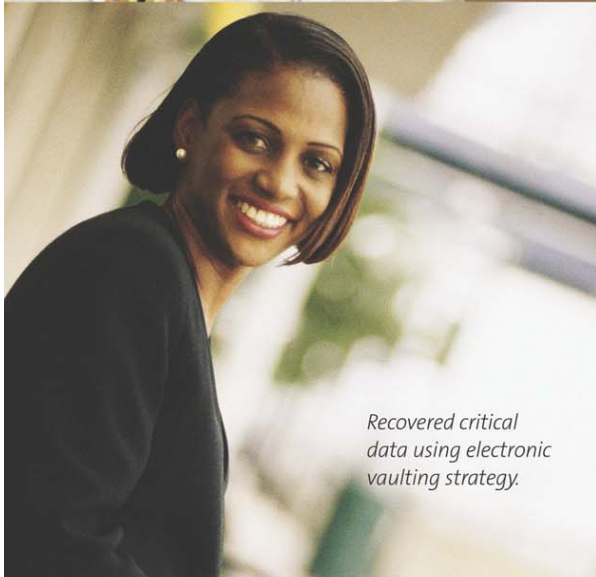
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