



# PROFESSIONOTES

A NEWSLETTER

OF THE

INSTITUTE OF CERTIFIED RECORDS MANAGERS®

## President's Message

### Certification Generates Substantial Rewards

By Alan A Andolsen, CMC, CRM, President

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As we begin 2008, the Institute of Certified Records Managers is a strong and vibrant organization. With over 900 CRMs and more than 900 candidates for the CRM, we are beginning to reach the critical mass necessary to make an even more significant mark on records and information management. The CRM has become an important, often mandatory, qualification for records management leadership positions within all types of organizations – governmental, public, and private.

We provide leadership to the profession by upholding standards of excellence through our Code of Ethics. We must always remember that we promise through the Code to demonstrate integrity, to be law-abiding, to protect information assets, to act in an honest and open manner, to be factual in our opinions, to be dedicated to continuous learning, and to be supportive of those who are interested in entering the profession.

The value of the CRM has also become much more tangible. In a survey of North American CRMs early last fall, over 65% of the respondents reported salaries and bonuses of more than \$80,000 [US]. Coupled with the generous benefits packages reported, the hard work necessary to gain and to maintain the CRM is obviously generating substantial rewards. As the CRM becomes even more well-known in government and industry and the value that our members contribute to their records management programs recognized and appreciated, we shall no doubt see even further increases in responsibility and rewards.

To continue expanding the influence of the

CRM in the records and information management profession, we must increase our numbers. As your president, I am issuing a challenge to each and every CRM and CRM candidate. The challenge is simple. I am asking each CRM and each candidate for the CRM to identify another individual who demonstrates the knowledge and leadership ability that we desire in a CRM and to invite the individual to apply for membership in the Institute. Once the applicant has been accepted as a candidate, I ask each of you to assist the individual in whatever way may be appropriate to prepare for the exams. By your concerted and cooperative effort, I believe that we can reach the milestone of 2,000 CRMs by the year 2010.

The Institute has made great strides through the creation of the web portal [www.ICRM.org] that allows candidates, and CRMs to manage their membership 24 hours a day, seven days a week. When you couple this tool with the ability to take the qualifying exams at thousands of locations throughout the world, the process for becoming a CRM and maintaining the certification has been substantially simplified.

I look forward to working with all CRMs and candidates to increase the value of our certification and to assure that we continue to uphold the highest standards of performance as reflected in our Code of Ethics.

The CRM has become an important, often mandatory, qualification for records management leadership...

## ***Institute of Certified Records Managers®***

**T**he Institute of Certified Records Managers (ICRM®) is a certifying body established to develop and administer a certification program for professional records managers. Contact information for the ICRM® is as follows:

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Website: www.ICRM.org

### **Publishing Schedule**

*ProfessioNotes* is published four times a year (Winter, Spring, Summer and Fall) by the ICRM®. Articles, inquiries, letters to the editor, or other comments should be directed to:

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*Special Thanks to Julie D. Prochnow for serving as desktop publisher for this issue.*

### **Editorial Policy**

Author's statements, either fact or opinion, are their own and do not necessarily express the official policy of the ICRM®. While the advice and information in this newsletter are believed to be true and accurate at the time of publication, neither the authors nor the editor can accept any legal responsibility for errors or omissions. The ICRM® makes no warranty expressed or implied with respect to the material contained herein. Letters to the Editor are welcome. Letters must be signed and are subject to editing.

## ***Editor's Message*** **Resolve to Become Published**

By Judy Vasek Sitton, CRM, Editor

**I**s this the year that you will act on that long standing resolution to share your knowledge with other CRMs and CRM candidates? You could volunteer to give a speech, although statistics say that you'd rather die twice than do that, or you could button-hole a colleague near the Ozarka machine and hope that his eyes won't glaze over as you speak.

I have a better idea. Submit a records management related article on a subject that you feel passionate about, and let me have the privilege of making it a part of *ProfessioNotes*. I can assure you that what you send will be enthusiastically received, thoughtfully reviewed, and gently edited before being published to allow your ideas to be showcased in the best possible light.

If that's not incentive enough for you, then act on your resolution to stay on top of your maintenance credits. Under CATEGORIES OF APPROVED EDUCATIONAL ACTIVITIES, Category 9, credit for this activity is three hours per full-published page. See the ICRM website for specific details and start writing today.

## **CODE OF ETHICS**

Certified Records Managers® should maintain high professional standards of conduct in the performance of their duties. The Code of Ethics is provided as a guide to professional conduct.

1. Certified Records Managers® have a professional responsibility to conduct themselves so that their good faith and integrity shall not be open to question. They will promote the highest possible records management standards.
2. Certified Records Managers® shall conform to existing laws and regulations covering the creation, maintenance, and disposition of recorded information, and shall never knowingly be parties to any illegal or improper activities relative thereto.
3. Certified Records Managers® shall be prudent in the use of information acquired in the course of their duties. They should protect confidential, proprietary and trade secret information obtained from others and use it only for the purposes approved by the party from whom it was obtained or for the benefit of that party, and not for the personal gain of anyone else.
4. Certified Records Managers® shall not accept gifts or gratuities from clients, business associates, or suppliers as inducements to influence any procurements or decisions they may make.
5. Certified Records Managers® shall use all reasonable care to obtain factual evidence to support their opinion.
6. Certified Records Managers® shall strive for continuing proficiency and effectiveness in their profession and shall contribute to further research, development, and education. It is their professional responsibility to encourage those interested in records management and offer assistance whenever possible to those who enter the profession and to those already in the profession.

## Feature

# The Case for a Secure Disposal Program

By Glenn P. Gercken, CRM

In April of 2007 the state of Texas sued CVS for the dumping of customer records that contained names, addresses, social security numbers, prescription information, credit card and debit card information. Under the Texas Identity Theft Enforcement and Protection Act, CVS could face a fine of \$50,000 for each potential violation and \$500 for each record exposed. Those figures should convince any RIM professional that it is time to write or revise the secure shredding policy and procedures for their organization.

Although there is still a need to consider destroying paper, microfilm, microfiche or physical information in a manner that obliterates the actual records, shredding also applies to electronic data. The development of a secure shredding program will provide the tools to establish a shredding policy. The policy describes which records or types of information need to be obliterated (shredded). According to certain data breach laws, the documents or records that should be shredded to avoid disclosure include customer lists, price lists, financial statements, drafts of bids, correspondence, and any information that contains name, address, phone number of a client or employee and, especially, records that contain Social Security numbers, pin numbers, account numbers, and medical record information.

## Data Breach Laws

Put in simple terms, the pending Cyber-Security Enhancement and Consumer Data Protection Act of 2007 (H.R.836) describes sensitive information as personal information; i.e., sensi-

tive information about an individual maintained by an agency related to education, financial transactions, medical history, and criminal or employment history. It can also be information that can be used to distinguish or trace the individual's identity, including name, social security number, date and place of birth, mother's maiden name, or biometric records. Further, sensitive personal information can be any other type of personal information that is linked or linkable to an individual.

Some laws that provide mandatory compliance for the proper disposal of data are the Health Insurance Portability and Accountability Act of 1996 (HIPAA), The Financial Modernization Act of 1999, also known as the Gramm-Leach-Bliley Act, and Fair and Accurate Credit Transactions Act of 2003 (FACTA), on which the disposal rule mentioned below is based.

Under FACTA, the disposal rule applies to consumer reports or information derived from consumer reports. Examples of consumer reports include credit reports; credit scores, reports businesses or individuals receive with information relating to employment background, check writing history, insurance claims, residential or tenant history, or medical history. The Rule requires disposal practices that are reasonable and appropriate to prevent the unauthorized access or use of information in a consumer report. The consumer report must be burned, pulverized, or obliterated so that the information cannot be read or reconstructed; you can destroy information within the organization or business or hire a document destruction contractor to dispose of material specifically identified as consumer report information.

Under HIPAA a person who knowingly uses or causes to be used a unique health identifier; obtains individually identifiable health information relating to an individual; or discloses individually identifiable health information to another person, shall be punished as

accordingly; be fined not more than \$50,000, imprisoned not more than one year, or both; if the offense is committed under false pretenses, be fined not more than \$100,000, imprisoned not more than five years, or both; and if the offense is committed with intent to sell, transfer, or use individually identifiable health information for commercial

## Faces of the ICRM

# CRMs Enjoy ARMA Meeting in Houston

By Judy Vasek Sitton, CRM, Editor

The following CRMs and CRM candidates were spotted at the Houston ARMA chapter meeting in January.

Since ICRM members and candidates gather only once per year at the annual meeting, allow us to showcase some of the 934 individuals currently in the registry. Send in group photos of CRMs or candidates from your "neck of the woods" or share photos from your CRM event with us. Please make sure that all individuals are identified and have given permission for their photos to be used.



Alan Heath, CRM receives 30 year ARMA Houston tenure pin from Louis Buzby, CRM.

*(The Case for Secure Disposal Program continued)*

advantage, personal gain, or malicious harm, be fined not more than \$250,000, imprisoned not more than 10 years, or both.

Program Elements

So in today's business environment a Secure Destruction Program makes sense to protect your business or organization from the loss of personal information either deliberately, by human error, or by malicious intent; but what should it include? First and foremost a policy needs to be written and supported by upper management, then processes documented and communicated to personnel. Included should be all physical and electronic records that contain information of a personal nature as described above. A methodology for destroying such records by burning, pulverizing or shredding should be implemented. Included should be detail as to what types of information must be securely destroyed. Processes and security systems should be auditable and documented and should follow the same standards whether performed in-house or handled by an outside contractor.

In today's business environment a Secure Destruction Program makes sense

Implementation of a Secure Destruction Program can lessen the insurance risk to the organization, and your insurance rates could be lowered. However, if you do not provide a policy or the tools to your personnel within your organization or business to provide for the proper disposal of personal information your organization could be embarrassed by the loss of such information and also be fined and have possi-

ble litigation from the effected parties as in the case of CVS.



About the author

Glenn Gercken, Records Manager for Ungaretti & Harris in Chicago, IL began his records management career in 1977 and received certification in 2005. He has been involved in many facets of RIM including records retention research and recommendations, microfilming solutions, electronic records storage, and physical records storage conversions including a 500,000 box conversion. Glenn has a Bachelor of Sciences degree from Northwestern University.

*Certification Maintenance*

## Documenting Online Credit Requests

By David McDermott, CRM, Regent

**Y**ou have entered your Certification Maintenance (CMP) Credit request online, now what?

Your next step would be to attach documentation. Find the request in your list of Credit Requests and select it. If you have electronic documentation, you can open the request again, go to the bottom of the screen and select "Documentation," add the docu-

mentation, and wait a minute or so and then select "Refresh."

If you mail or fax your documentation, **please write your name and 'online'** at the top of the page. Fax number is 315-474-1784 (please limit faxes to 5 pages). There is no need to use FORM 3 because the online request takes the place of Form 3 for categories 1-9.

If you applied for Category 10, (work product) chances are you will still need to use Form 4 in order to have a verification signature. You can print the form, fill it in, have it signed and either fax it to us with the 'online' notation, or scan it and attach it.

**You do not have to wait for an email from the ICRM office to attach your documentation – go ahead and attach it right away! This will get you a faster turn-around time!**

Once you receive your transcript, read it over and if you have a question about the credits given for a particular credit request, you can go back into your credit requests, select the request in question and scroll down and read the "Reason" attached to that credit request.

If you have any problems, send an e-mail to [admin@icrm.org](mailto:admin@icrm.org) or call Patti McGuire 1-877-244-3128.

There is no need to use FORM 3 because the online request takes the place of Form 3 for categories 1-9.



## **Certification Maintenance**

# **Pre-Approved Educational Activities**

By David McDermott, CRM, Regent

**T**he ICRM has pre-approved the following educational activities. Maintenance credit hours approved for each activity are shown. This information is provided solely as a service to those seeking certification maintenance opportunities. Registration for any activity or questions about course offerings should be directed to the sponsoring organization listed. Web addresses have been provided when available. If you are aware of an educational activity that would be of benefit to CRMs, please refer the sponsor to the ICRM web page for pre-approval.

## **CANADA**

### **Ontario**

January 29-30, 2008 (Conference)  
January 31, 2008 (Workshop)  
Effective Records and Information Management Conference (12.0 hrs)  
Workshop (3.0 hrs) Toronto, ON  
Infonex [www.infonex.ca](http://www.infonex.ca)

Feb. 26, 2008  
The Complete Payroll Process in Ontario (5.5 hrs), Ottawa, ON  
Lorman [www.lorman.com](http://www.lorman.com)

## **UNITED STATES**

### **Arkansas**

February 22, 2008  
Hiring Issues in Arkansas (6.5 hrs)  
Little Rock, AR  
Lorman [www.lorman.com](http://www.lorman.com)

### **California**

March 13 – 14, 2008  
Sedona Conference "March 2008" - San Diego (12. hrs)  
San Diego, CA

Sedona Conference  
[www.thesedonaconference.org](http://www.thesedonaconference.org)

April 11, 2008  
Conference: Randolph Kahn – Information Nation Boot Camp (6.5 hrs)  
Los Angeles, CA  
ARMA GLA [www.arma-gla.org](http://www.arma-gla.org)

### **Connecticut**

Feb. 26, 2008  
Legal Issues in the Medical Office in Connecticut (6 hrs), Bridgeport, CT  
Lorman [www.lorman.com](http://www.lorman.com)

Mar. 3, 2008  
Document Retention and Destruction in Connecticut in the Age of Electronic Documents (6 hrs)  
Farmington, CT  
Lorman [www.lorman.com](http://www.lorman.com)

### **Florida**

April 3-4, 2008  
Elevating Records Mgmt from the Basement to the Board Room (9 hrs)  
Safety Harbor, FL  
ARMA Florida Gulf Coast  
[www.fgcarma.org](http://www.fgcarma.org)

### **Kansas**

March 11, 2008  
2008 Spring Seminar (6 hrs)  
Wichita, KS  
ARMA Central KS [www.arma-ck.org](http://www.arma-ck.org)

### **Illinois**

March 18, 2008  
Spring Seminar - Transitioning from Paper to Electronic Records (5 hrs)  
Chicago, IL  
ARMA Chicago  
[www.armachicago.org](http://www.armachicago.org)

### **Massachusetts**

April 8, 2008  
Employment Law from A to Z in Massachusetts (6.5 hrs)  
Worcester, MA  
Lorman [www.lorman.com](http://www.lorman.com)

### **Michigan**

March 5, 2008

Establishing & Managing Successful Records Mgmt Programs (6.5 hrs)  
Detroit, MI  
ARMA Detroit [www.armadetroit.org](http://www.armadetroit.org)

### **Mississippi**

March 26, 2008  
Legal Issues Affecting Medical and Dental Offices in Mississippi (6 hrs)  
Jackson, MS  
Lorman [www.lorman.com](http://www.lorman.com)

### **Missouri**

April 17, 2008  
John Montana's Mock Trial (E-Discovery) (5.5 hrs)  
St. Louis, MO  
ARMA St Louis [www.armastlouis.org](http://www.armastlouis.org)

### **Ohio**

April 10, 2008  
Children's Records Law in Ohio (6 hrs), Columbus, OH  
Lorman [www.lorman.com](http://www.lorman.com)

### **Pennsylvania**

April 11, 2008  
Pre Employment Screening and Safe Hiring in PA (6 hrs)  
Monroeville, PA  
Lorman [www.lorman.com](http://www.lorman.com)

### **Texas**

March 25, 2008  
Spring Seminar (6 hrs)  
Austin, TX  
ARMA Austin  
[www.arma-austin.org](http://www.arma-austin.org)

### **Utah**

March 20, 2008  
Bridging the Gap: Managing Paper and Electronic Records (5 hrs)  
Salt Lake City, UT  
ARMA Salt Lake Utah  
[www.armautah.org](http://www.armautah.org)

### **Wyoming**

March 10, 2008  
ECM, Computer Forensics and Federal Rules with speaker Alan Andolsen (6 hrs)  
ARMA Wyoming [armawyoming.org](http://armawyoming.org)

## *Pre-Approved Educational Activities Continued*

### WEBINARS

Feb. 4 - 12 w/ live teleconference on 2/12/08

Auto-Classification - Is the Silver Bullet Ready? (1.5 hours)

ARMA International [www.arma.org](http://www.arma.org)

### *Public Relations and Professional Development*

## Seeking Mentors and New Ideas

By Bruce White, CRM, PMP, Regent

First, I want to thank Judy Sitton for graciously volunteering as the editor of *ProfessioNotes*. Certified since 1985 and a past Board of Regents member, Judy brings both history and new ideas to the table. Judy did a great job with the Houston ARMA-dilla Newsletter, which won the ARMA International Very Large Chapter Newsletter award in 2002 under her editorship. She brings that same enthusiasm to *ProfessioNotes* and fully welcomes your input and support.

Second, in this edition, you'll note a few changes to the format. We've added announcements about future CRM seminars and included information regarding events that are pre-approved for maintenance credits. We are open to ideas for articles and content as long as they aren't too crazy and will bring benefits to our members.

Next, on the professional development side, one of the trademarks of a great profession is the willingness of members to help others out. In this regard, we are actively seeking mentors for

candidates. If you are interested in helping a fellow records professional become certified, please contact Howard Loos, our Mentor Coordinator or me.

Finally, I am developing a slide deck that discusses the ICRM, including candidacy requirements. If your professional association chapter or organization plans to host a session on the ICRM and needs information or may be seeking a speaker, please contact me at [crmpmp@gmail.com](mailto:crmpmp@gmail.com).

### *Public Relations and Professional Development*

## Initial Results From the Membership Survey

By Bruce White, CRM, PMP, Regent

In August and September the ICRM conducted a salary and demographic survey. I want to thank the 55% of our membership who participated. Here are some nuggets revealed from their responses that I'd like to share with you:

- Approximately 63% of those who replied are women, 37% men, almost a two to one ratio.
- If their responses are representative of the membership as a whole, most of our members tend to be in the middle or late years of their lives, with 29% over 55, 45% between the ages of 45 and 54 and 23% between the ages of 35 and 44.
- We are an educated group. Over 88% of the respondents have at least a Bachelor's degree and 47% have a graduate level degree. Types of degrees vary, with the traditional (Business Administration, Library Sciences and History/Archives) to the more interesting (Anthropology, French Literature and Home Economics).
- Over 50% have at least 21 years experience in the records and information management profession.
- 41% of us are employed with a large organization (5,001 employee plus), 26% work for medium size (1001 to 5000) and 31% for small (less than 1000).
- Our members work in diverse industries, with the largest percentage (27%) in government. Others major industries include Consulting (10%), Utilities (6%), Financial Services (6%), Energy (Oil/Gas/Coal) (5%) and manufacturing (5%).
- Approximately 32% report to Administrative Services, 27% report to General Counsel/Compliance, and (like me) 25% report to Information Technology.
- 82% of respondents work for an organization that has a formal records management program.
- In addition to the CRM, a number of the respondents possess other certifications. Examples include the Certified Archivist, Certified Document Imaging Architect, Project Management Professional, Certified Public Accountant and the Certified Management Consultant.
- 51% of the respondents made at least \$90K, with the average annual salary in the US just under \$95K while in Canada the average was just over \$93K. The highest salaries are, predictably, in the Pacific (\$107K) and Mid-Atlantic regions (\$104K) while salaries in the Midwest (\$81K) and Great Northwest (\$84K) on the lower end of the spectrum.
- Many of the respondents have multiple professional memberships. Over 88% belong to ARMA, 41% belong to AIIM, and 58% belong to another professional organization.
- Regarding benefits:

***(Initial Results From the Membership Survey continued)***

- 77% participate in a company sponsored 401K or 403b (government) retirement plan.
- 55% have access to a company pension plan.
- 74% receive medical benefits of some type.
- 48% are provided a cell phone, blackberry or other communication device.
- 28% are eligible to receive a bonus, stock options or both.
- 84% say their organization pays for conferences, including travel and lodging.

Mind you, the survey is not scientific, but the results provide what I believe is a good picture of our membership. I am still sorting through the data and hope to have the results published on our website soon. In the meantime, if you have any questions about the survey or these initial results, please let me know.

***Leadership Opportunities***

**Openings on the ICRM Board of Regents**



By Rayanne Waggoner, CRM, Regent

**H**ave you considered serving on the ICRM Board of Regents? Now is

the time to give it a thought. We're looking for people who would like to be part of the 2009-2010 Board of Regents.

The open positions are:

Secretary  
Treasurer

**You have an opportunity to influence the future direction of the Institute.**

Regent – Exam Development  
Regent – Certification Maintenance  
Regent – Certification Standards  
Regent - Examination Grading

What are the duties for these positions? You can find a general description on the ICRM website ([www.icrm.org](http://www.icrm.org)) under Board of Regents. You may want to call the current Regent and talk to them about exactly what they do and how much time they spend. You will be required to attend two board meetings per year. One board meeting is held just prior to the ARMA Conference and a second meeting is held in the spring. The dates and locations for these meetings vary each year.

What do you gain? You have an opportunity to influence the future direction of the Institute. You will work with people who are as committed to the improvement and expansion of the Institute as you are. You also meet members and candidates who are as enthusiastic about the field of Records Management as you are.

If you are interested, please submit an application between February 1, 2008 and March 31, 2008. Contact Rayanne Waggoner, CRM ([Rayanne@apple.com](mailto:Rayanne@apple.com) or 408-974-1503) for the application form and any additional information.

***Candidates and Prospective Candidates***

**Upcoming CRM Seminars**

**California**

**Orange County CRM Seminar**  
Friday, February 22, 2008 (Full Day) and  
Saturday, February 23, 2008 (Half Day)  
Irvine, CA  
[www.ocama.org/crm](http://www.ocama.org/crm)

**Texas**

**SW Region CRM Conference**  
April 22 -23, 2008

***NIRMA News***

***News from the Nuclear Information & Records Management Association***

**ICRM and NIRMA Agree on Part 7 Examination Date**

By Peggy Warner, CRM, N/S, Nuclear Information and Records Management Association Representative

**R**epresentatives from ICRM and NIRMA have agreed that the Part 7 Examination for Nuclear Specialist Advanced Designation will remain as it has historically been defined. The Part 7 examinations are given the same day as Part 6; this year the Thursday of the exam week. Anyone interested in learning about the Nuclear Specialist examination should contact Peggy Warner, CRM/NS, at [pjwarne@sandia.gov](mailto:pjwarne@sandia.gov).

## Feature

# Defining Roles: the Records Manager and ECM

By Stephen B. Page, CRM

**E**nterprise Content Management, or ECM, has traditionally been a program led by the Information Technology (IT) department because it refers to the technologies and tools used to capture, manage, store, preserve, and deliver structured and unstructured content. ECM also focuses on ways to improve operational efficiencies, improve workflows, enable electronic searching, and significantly reduce the amount of paper used, which have historically been traditional Records Management functions. So where does ECM actually belong?

### Three Challenges of ECM

- Enhance workforce effectiveness through collaboration, communication, and information sharing.
- Transform business process through the integration of content and the automation of related processes
- Optimize the infrastructure for content and compliance through the capture, the archiving, the retention, the discovery, and the retrieval processes.

IT relates strongly to ECM because it speaks to technologies, storage, archiving, organizational processes, and unstructured information. To IT, ECM represents the state-of-the-art technology for managing data in a highly efficient manner. So it would seem that it's a no-brainer that IT should be leading ECM projects, or is it? And it would also seem that IT has a wonderful justification for ECM systems,

right? Actually, the answer is "No." IT generally cannot justify ECM programs on technology alone. So, this is where the records manager can save the day by becoming the business sponsor of the ECM program. Just two cases prove this point. In recent litigation, two large companies suffered losses of \$29 million and \$600+ million due to inadequate e-mail management systems; put more bluntly, they didn't have a records management sponsored ECM program in place.

**ECM is more than achieving hardware and software efficiencies.**

### More Than Hardware and Software Efficiencies

ECM is more than achieving hardware and software efficiencies. The underlying focus of ECM is not on IT efficiencies but on compliance, risk, and e-discovery challenges. Now here's the rub: while IT may have achieved some data reduction efficiencies with e-mail and document management redundancies, they haven't touched the critical component of compliance, risk, and e-discovery challenges. Enter the Amended Federal Rules of Civil Procedure (FRCP).

On December 1, 2006, the Federal Rules of Civil Procedure were amended to include ESI, or electronically stored information. The new rules address the extraordinary increase in information conveyed and stored in electronic format. These amendments relate to electronically stored information (i.e., information stored on computers or other electronic media) during the discovery phase of litigation. Prior to these amendments, whether electronically stored information should be searched or produced during discovery was a point of confusion and disagreement. The amended rules have resolved this issue.

### Justifying the Records Manager's Job

This Federal Rules of Civil Procedure affect all companies, big, small, public, private, or not-for-profit and, more importantly, the amendments essentially require records managers to prove to the courts that they have a records management program (including an up-to-date records retention schedule) that is consistently applied to physical and electronic records. Wow! All of a sudden, the need for records managers becomes quite clear. It is no coincidence that job boards like CareerBuilder and Monster now advertise pages upon pages for records management individuals whereas several years ago, you would be lucky to find one position listed in any given month.

### Compliance, Risk, E-Discovery and the Records Retention Schedule

The key component of any ECM implementation is how it relates to compliance, risk, and e-discovery. The fact that IT can reduce data redundancies and streamline document storage and backup is secondary.

The success of any ECM program hinges on the implementation of records retention rules on the content controlled by ECM (e.g., email messages, documents, work flows, web content, instant messaging, databases, or flash drives, to name a few). With ECM implemented, the Records Manager can have the best opportunity possible to prove that they are consistently applying their records retention schedule to electronically stored information.

All electronically stored information must be matched against the company's records retention schedule to determine if the information is a record and for how long the information should be retained. ECM is the perfect solution for accomplishing this

*(Defining Roles: the Records Manager and ECM continued )*

records management requirement because large ECM vendors (e.g. IBM, EMC, or Interwoven) can offer solutions that address email messages, document management, business process workflows, and web content to name a few.

More importantly, these vendors have e-discovery modules to implement legal holds (mechanism to prevent records from being modified or destroyed) across all electronically stored information and even physical

**The key component of any ECM implementation is how it relates to compliance, risk, and e-discovery.**

records, at the same time. As to the vendors that offer these solutions, you have to do your homework. But be aware that there are companies out there that only offer pieces of this solution such as for email only or web content only.

#### **Leading ECM Efforts**

The current trend is for Records Managers to lead ECM efforts with IT being a partner in the effort. The mistake is to think that IT can lead the effort with the Records Managers as the secondary partner. Records Managers must have the final say (even administrative rights to the ECM system) to assure that the records retention rules are properly and accurately applied and to ensure that only Records Managers and litigation attorneys administer the legal hold system. More importantly, the Records Managers can serve as the business sponsor and provide the funding for the project in situations where IT would have difficulty justifying the ECM system with-

out the influence of the Records Management program.

#### **Summary**

In summary, the e-discovery rules have made it clear that electronically stored information, the information on your business's computers, is discoverable. Therefore, it's time for the records manager to assume the lead. Unless your business is immune to litigation, the e-discovery rules will impact it. The consequences are severe when records are destroyed prematurely because the records retention schedule and basic records management standards were ignored or were nonexistent as applied to electronically stored information.

#### *About the Author*

*Stephen B. Page is certified as a records manager since 1989. He is also a certified project manager, certified software quality engineer, and a certified forms consultant. He is currently leading an effort at TransUnion to implement ECM and the components that relate to email messages, document management, records management, and e-discovery. He is an expert in records management and policies and procedures. For more information about Stephen Page, visit [www.companymanuals.com](http://www.companymanuals.com).*

#### **ICRM® Examination Schedule**

#### **Exams for 2008:**

**Winter February 4-8, 2008**  
**Spring May 5-9, 2008**  
**Summer August 4-8, 2008**  
**Fall November 3-7, 2008**

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**Examination Administration**

**New CRMs**

By Rayanne Waggoner, CRM, Regent

**H**earty congratulations to the following individuals who passed the August and November 2007 exam.

Keith D Davis, CRM  
Acworth, GA

Chad J. Doran, CRM  
Linthicum Heights, MD

Melanie S. Escott, CRM  
Blue Spring, MO

David P. Gray, CRM  
Tampa, FL

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Chicago, IL

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Wichita, KS

Andrea P. Wood, CRM  
San Ramon, CA

Margo E. Young, CRM  
Altadena, CA



CRM Candidates Beverly McMahan and Sondra Lockard



Nancy McNeil, CRM



Linda Richards, CRM and Nancy Ramirez, CRM

**Faces of the ICRM continued**



Denise Robertson, CRM and Paul Scott, CRM, CA



Regent, Bruce White CRM, PMP officially hands over responsibility of *ProfessioNotes* to Judy Vasek Sitton, CRM

# ICRM® Board of Regents—2008

## Retirement Message

## Thanks for the Memories!



Linda Cusimano, CRM,  
Retiring ICRM President

**T**hank you all for the wonderful memories of the past 5 years that I have spent on the ICRM Board. During my time on the Board all of the hard-working Regents have made such tremendous progress moving into the electronic testing world, totally reworking and updating the CRM exams and study process, developing a marketing plan, etc. – I feel so honored to have been a part of all of this.

I look forward to hearing of continuing progress in the growth of our

**Thank you all for the wonderful memories of the past 5 years that I have spent on the ICRM Board.**

Records Management profession and in the number of CRMs in the field. It is so important to demonstrate your proficiency and ongoing education as the marketplace becomes more and more competitive. The certification has made such a great difference in my career and I will continue to be proud of the accomplishment as I move into the new world of retirement.

Best of luck to all CRM candidates and continued success to all current CRMs. Thanks again to all for the wonderful memories.

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