



The
BUSINESS RECORDS MANAGEMENT
BULLETIN



A Service of **BUSINESS RECORDS MANAGEMENT**

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USING AN ERMS TO MANAGE RECORDS

EDMS, ERMS, ECM—these acronyms frequently get thrown around as though they were identical or at least similar. Some definitions set forth by the State of Oregon help clarify the differences. EDMS, an Electronic Document Management System, lets users store, retrieve and share documents with security and version control but it does not apply retention schedules nor does it dispose of records.

ECM, Electronic Content Management, supports the life cycle of digital information which may be changed or edited, or eventually replaced, or retired from usage. ECM is about version control. Again, it does not include records retention and disposition.

ERMS, Electronic Records Management System, manages electronic records from creation with retention schedules to final disposition while categorizing and storing them for retrieval during their lifetimes. It ensures that records can be verified and validated to be what they are purported to be, and that they are protected so they cannot be altered or destroyed by mistake or malicious intent. A system should also provide access only to persons authorized to use designated records. The life cycle process may include migration to another electronic medium as records move further along their service years of accessibility.

ERMS can also signify Electronic Records Management Strategy because a well-thought-out strategy must be the first step in constructing a system. What does it take to develop this strategy? What must you consider in putting it together? The State Archives of Minnesota have downloadable strategy guidelines for public governmental agencies, and many of the considerations would apply to non-governmental entities as well and are a good starting point.

Likely the prime consideration is the legal framework affecting your records. Compliance to local, state and national



statutes and restrictions, with increasing need for maintaining certain categories of information, is a major consumer of records management time and money for most organizations these days.

Equally important is considering the persons who will create, maintain and use the records. Concerning usage, will some of your records be accessible to the public, or will there be online access for your customers for their accounts? Which electronic records are an absolute necessity for the daily functioning of your organization? What are the short- and long-term needs of your organization, and how can electronic records support these needs?

Your strategy will define the records series for your organization, and this may be shaped by the legal requirements affecting your operation. The concept of records continuum is part of the strategy, too, in that it recognizes that different users of a record, at various points in its lifetime, will have an effect on others in the continuum.

The strategy that you tailor for the particular and individual needs of your organization will make it unique. However, a strategy for electronic records in any setting must produce records that are:

- Trustworthy, reliable and authentic;
- Complete with metadata so they are useful in the long run;
- Accessible; and
- Durable so they can be used during their retention period.

How do you get management behind your ERM Strategy?

When it is painfully obvious that corporations with poor records management can die from self-inflicted wounds, and when it is obvious that the amount of electronically stored information expands by the second, the question becomes: Where in an organization should records management reside to gain as much executive weight behind its program as possible?

There have been interesting changes as to where records management reports during the past several years. An article by Carol E. B. Choksey, Ph.D, CRM, PMP in March/April 2008 Information Management Journal (www.arma.org) is titled "Where RM Should Report to Ensure Effective Electronic Records Management." It explores the changes that have come about since a similar study in 2002 looked at where records management was placed within an organization.

Participants in the 2002 study said that records management reported to administrative services or business services (34%) and to legal (24%) with decreasing percentages for IT, human resources, finance, corporate secretary, risk management, security or the CEO.

A study conducted during 2005-2006 found that 47% of the records management respondents report to the legal department with 13% reporting to administrative services, 13% to IT, and decreasing numbers for other departments. This can be viewed as ratifying the notion that corporations are now viewing records management as a legal issue and not just a business process.

Another question that was part of the recent study, again to find records management's place in the current scheme of things, sought to determine who comes to records management seeking advice on RM matters. Participants stated that they are asked for advice most often by legal, IT, and line-of-business managers.

The encouraging assumption is that records managers and their strategies are now dealing with electronic records from creation to disposition, not just later as storage responsibilities. Records management strategies must include policies and procedures that will insure that electronic records are created to be trustworthy, complete, accessible and durable as was stated earlier.

Thus it appears that a strategy built to support legal and compliance needs (as well as others) is likely to have the best chance for influence and implementation throughout an organization.

Where/how do you start to look for an ERMS?

Or, how do you write a Request For Proposal to get bids from vendors on a system to manage electronic records? When this question was tossed out on a listserv for records managers, several respondents stated that the document known as DoD 5015.02-STD, April 25, 2007 is a good starting point even for non-military organizations. Titled "Electronic Records Management Software Applications Design Criteria Standard," it lists mandatory functional requirements for RM software and defines system interfaces and search criteria as used by the Department of Defense. Search for the standard by name and the free downloadable 117 pages will be available. A fast winnowing out of ERMS applications can occur by asking a vendor "Are you DoD 5015.02 certified?"

For non-military specifics on electronic records, go to www.archives.gov, the National Archives and Records Administration, then click on Records Managers. This produces a list of 14 resources including four publications concerning electronic records management.

To see how European companies and organizations view ERMS, go to www.moreq2.eduto read and download the "Model Requirements for the Management of Electronic Records, Update and Extension, 2008. This was produced by the European Commission as a revision of the 2001 model.

Vendors of ERMS will be happy to provide you with information about their products. Two organizations that provide buyers guides to vendors are ARMA, the Association of Records Managers and Administrators at www.arma.org and AIIM, the Association for Information and Image Management at www.aiim.org. Most vendors will have white papers expounding the merits of their system, downloadable at their websites.

Your storage contractor can provide advice that will help as you begin to develop your electronic records management system.

UNLV OFFERS 3-DAY SEMINAR IN DIGITAL RECORDS

This course is for managers who have been assigned to manage a document imaging system, and must start immediately, but can spend three days to study the subject and its background. This course is designed to assist managers to be more effective in bringing the immediate and long term benefits of document imaging and document management to their organizations and to their organizations' clients, customers, and constituents. Students will gain an understanding of how document imaging can be used and managed in both small and large-scale organizations. Document imaging is the process of scanning paper or microfilm documents. Document imaging moves the documents from their hard-copy format on shelves and in file cabinets to a digital format stored in computer based document repositories. Document management organizes scanned documents, paper documents, and born-digital documents in their native-format, for compliance with records retention requirements, including permanent preservation.

This course provides an understanding of the details that there is often no time to reviewing the rush to implement a system. The course content is intended to be useful to students in their professional work for twenty years into the future and is also intended to be useful for planning to preserve digital documents forever. The course may be too broad for those students seeking to learn a specific software application. Students will learn about the technology of scanning, importing, transmitting, organizing, indexing, storing, protecting, searching, retrieving, viewing, printing, preserving, and authenticating documents for document imaging systems, and archives. Image and document formats, metadata, XML (eXtensible Markup Language), multimedia, rich text, PDF (Portable Document Format), GIS (Geographic Information Systems), CAD (Computer Aided Design), VR (Virtual Reality) and GPS (Global Positioning System) indices, image enabled databases, data visualization, finite element analysis models, animations, molecular models, RAM (Random Access Memory) based SQL (Structured Query Language) databases, knowledge management, data warehousing, records inventories, retention schedules, black and white, grayscale, and color scanning. OCR (Optical Character Recognition), multispectral imaging,

audio and video digitizing, destructive(lossy) and nondestructive (lossless) compression, digital signatures and seals, encryption, the three components of vision: resolution, color, and motion, the imaging technology of continuous tone, halftoning, dithering, and pixels, RAID (Redundant Array of Inexpensive Disks) fault tolerance, ECCs (Error Correcting Codes for RAID, CD, and DVD), and mirrored site disaster planning will be discussed.

System design issues in hardware, software, networking, ergonomics, and workflow will be covered. Emerging technologies such as the DVD Digital Video Disc, HDTV (High Definition TV), and very highspeed Internet, intranet, and extranet links, Internet protocol stacks, and Internet 2 will be presented. The course will include the DVD's role in completing the convergence of the PC and television, the convergence of telephony, cable, and the Internet, the merging of home and office, the merging of business and entertainment, and the management of the resulting document types. Can everything be digitized? The course follows Shakespeare through being (or not to be), love, wisdom, knowledge, information, data, bits, and discernable differences (optical disc pits). Many professionals including records managers, librarians, archivists, and compliance officers work with document management issues every day. While not limited to these professionals, this course builds on the broad range of tools and techniques that exist in these professions. The class content is designed so that students can benefit from each part of the class without fully understanding every technical detail presented. This course designed for non-technical professionals.

Several system designs will be done based on system requirements provided by the students. System designs are done to provide an understanding of the design process, not to provide guaranteed solutions to specific problems. There is no hands-on use of scanning equipment. The course is designed to improve the ability of non-technical managers to participate in, and to direct, technical discussions. Instructional techniques include storytelling, iconic objects, and videos. Interaction between students is considered an important part of the learning experience.

Instructor: Steve Gilheany@ ATT.net, BA Computer Science, MBA, MLS Specialization in Information Science, CDIA (Certified Document Imaging System Architect), CRM (Certified Records Manager), California Adult Education teaching credential, Sr. Systems Engineer, 25 years of experience in digital document imaging.

Enrollment is limited. Please call the instructor at +1(925) 457-0363 for questions about the course. Students are encouraged to read the course materials and to speak with the instructor to determine if the course will be suitable for their purposes.

Because there is no charge for making a room reservation, and room costs increase when availability is limited, students are encouraged to make reservations as early as possible. The course is located at the UNLV Paradise Campus (PAR) at the corner of Tropicana Ave. and Swenson St. at 851 E. Tropicana Ave. Las Vegas, NV 89119. (googleable) UNLV Paradise Campus (PAR) is ten blocks east of the Las Vegas Strip and ten blocks north of the Las Vegas McCarran Airport Terminal. For an overview of Las Vegas itself, please see <http://www.vegas today and tomorrow.com>

The following is an example of the course materials available at <http://www.ArchiveBuilders.com/whitepapers/index.html>. There are also several papers that describe various document management topics in prose.

ALA's 38th Annual education Conference and Exposition

I'd like to take a moment and introduce myself as ALA's new Manager of Exhibits and Sponsorships. My goal is to help you be successful. I pride myself on personalized service, to ensure you and your company get the maximum benefit for your exhibition investment.

With that philosophy in mind, did you know that ALA offers unparalleled opportunities for you to reach the legal market - your market? We all know that times are tough and they are getting tougher. In today's

competitive world you need an edge. ALA will give you that edge at the 2009 Annual Educational Conference and Exposition, May 18-21, in New Orleans, Louisiana.

Why should you exhibit at ALA's Exposition?

ALA's Exposition is the only event specifically targeting legal managers and administrators. Expand your customer base and meet more than 1,600 buyers and decision-makers with money to spend from law offices and legal departments around the world. Join more than 250 companies who will showcase the latest in law office technology, products and services.

Your competition will be there!

View the floor plan at www.alanet.org/conference to select your exhibit booth, register, and submit payment. Enclosed is the ALA Exhibitor Prospectus. Sign up now while prime booth space is still available!

For even more visibility, we have a variety of sponsorships available to fit every exposition budget. By taking advantage of a sponsorship opportunity, your corporate message will be visible long after the Conference is over. Call me for more details. Your support is appreciated! As an exhibitor at ALA's Annual Educational Conference and Exposition, you are also eligible for a 20% discount on our Find a Legal Vendor section of the Web site. Just another cost effective way that ALA helps you be successful. Call at (847) 267-1374. You'll be glad you did. I look forward to meeting you at the Conference!

Business Records Management Receives Top Industry Certification for Second Straight Year

JOHNSTOWN, PA - Business Records Management, a leader in records and information management in Pennsylvania, has completed re-certification from the National Association of Information Destruction (NAID).

Business Records Management (BRM) was first recognized for secure document destruction procedures on June 20, 2007, and this re-certification will be valid for an additional year. The AAA-Certification is the highest standard in the industry. It is awarded to companies that adhere to stringent and comprehensive document destruction methods, while meeting security requirements that are designed to protect the privacy and confidentiality of all shredded information.

NAID is an international non-profit trade association for the information destruction industry, and its members are companies involved in providing those services. The organization educates business, industry and government of the importance of destroying discarded information and the value of contract destruction services.

BRM undergoes a yearly audit in order to retain certification. Only security professionals with the Certified Protection Professional accreditation conduct the audits, and the accreditation is issued by the American Society for Industrial Security. The NAID Certification Program establishes standards for a secure destruction process, including such areas as security, employee hiring and screening, operational destruction process, and insurance. BRM is also subjected to surprise audits to maintain the certification.

Business Records Management operates facilities in Johnstown, Pittsburgh and Erie. BRM provides information management services to over 3,000 organizations throughout western Pennsylvania, Ohio, West Virginia and parts of Maryland and New York. BRM services include Document Storage and Management, Secure Document Shredding, Disaster Recovery, Software Escrow, Backup Tape Storage and Rotation, Email Retention, Imaging and Records Management Consulting.

Johnstown Shred Day—September 20, 2008

On Saturday, September 20, Business Records Management held its first Shred Day, in conjunction with NAID's National Shred Day and Forever Broadcasting's Going Green Symposium in Johnstown.

Approximately 125 parties were in attendance, and 54 parties witnessed their shredding (43%).

Shred Day generated 5600 pounds of paper, compressed into three bales.

Local media from WJAC-TV, WKYE-FM, the Tribune-Democrat, and Bedford Gazette promoted the event. Prize drawings were held throughout the day, which were announced live on WJHT-FM.

“An identity is stolen every four seconds,” said BRM president Steven Wright. “Identity theft destroys people’s credit, insurance and Social Security benefits. Because of our extensive document destruction experience and nationally recognized NAID AAA-Certification, BRM is committed to educating the public through special events such as Shred Day.”

According to Robert Johnson, executive director of NAID, “Studies have shown that most identity thieves obtain personal information they use to commit their crime from low-tech sources such as dumpster diving. Law enforcement agencies across the country at all levels strongly recommend that personal information be destroyed before it is discarded. Business Records Management is doing a great public service by providing this service free as a means of promoting secure destruction throughout the year.”

Employee Profiles



Elise Shaffer is the contract administrator at BRM in Pittsburgh. She has been with BRM for about six years. Elise started in 2003 in the Customer Service department before being promoted to Supervisor and then moved into

her current position. Elise enjoys working at BRM and every day is a challenge in that she feels she is always learning something new about the record storage industry. Elise believes the best aspect of working at BRM is the relationships she has built with so many of the clients over the years.

Outside of work, Elise is a wife and mother. She has been married to her husband Don for 10 years and they have two daughters - Madison, 11 ½, and Abigail, 9 ½. Her family likes to go fishing, and Elise believes there is nothing more relaxing than waiting for a fish to grab onto the line. Elise also loves to read; however, between work and her family, she doesn't have much time for that anymore.

Elise does believe, though, that every day we are here on earth is a gift, and that life should be led to its fullest.



Suzanne Gais is the receptionist in the Pittsburgh office since September. Her favorite part about BRM is the people she's met at BRM. Suzanne graduated from West Virginia University with a degree in Journalism.

In her free time, Suzanne likes to read and some of her favorite authors include Neil Gaiman, Chuck Palahnuik, and Stephen King. She also likes industrial and hard rock music and enjoys strategy, adventure, and online computer games.

In her free time, Suzanne enjoys spending time with her husband, Steve. Suzanne and her husband also have a pug named Orson, and a cat named Sallie along with a ball python and two fire bellied toads.

Congratulations eNewsletter 3rd Quarter Winners!

Congratulations to **Darcy Newbold** of the Heinz Family Office and **Megan Williams** of Perkins Eastman Architects PC. They each won a \$50 gas card.

On behalf of everyone at BRM, thanks again and congratulations!

