Off the Record
Volume 42, Issue 4
April 21, 2005

Meeting: Wednesday, April 21, 2005, 11:30 to 1:30
Location: Marriott Courtyard—Kearny Mesa
Reservations - Contact Linda Maczko @ (858) 534-3995
On-line RSVP: http://www.sandiegoarma.org/arma_registration.htm

Winning Strategies for Successful Records Management Programs

Dr. Mark Langemo, CRM, FAI is a Professor Emeritus in the College of Business and Public Administration at the University of North Dakota. A Senior Professor at UND from 1972 to May of 1999, he was the Coordinator of UND's highly successful major in Information Management— a program with a heavy records management emphasis during those years. He has over 38 hears of experience as a university professor of Records Management, IT, Office Systems Management, and related IM courses.

Dr. Langemo has maintained an active involvement in business and professional development work himself. He has been a records management seminar leader, consultant, or speaker in 45 of the Continental United States, Alaska, Hawaii, several Canadian provinces, Australia, Iceland, New Zealand, Trinidad and Europe. His over 600 records management seminars and his consulting has involved work for the U. S. and Canadian governments, state and provincial governments, city and county governments, major corporations such as Microsoft and 3M, pharmaceutical companies, health care organizations, energy and power companies, accounting firms, banks, educational institutions, law firms, ARMA International and other professional associations, small businesses, and the John F. Kennedy Space Center in Florida.

Mark Langemo is a prolific author who has published over 60 magazine and journal articles. He is the author of a new CD-ROM seminar series, Establishing and Managing Successful Records Management Programs, and is the author of a new book Winning Strategies for Successful Records Management Programs published by Information Requirements Clearinghouse (www.irch.com). Dr. Langemo has been the University of North Dakota's "Teacher of the year," and he recently received a national award for "excellence in continuing education seminars." He is a Certified Records Manager (CRM) who has earned ARMA International's coveted Award of Merit for "distinguished contributions to the profession of records and information management." Dr Langemo was inducted into ARMA International's prestigious Company of Fellows in 1991. In 1993, Mark Langemo was given the prestigious Emmett Leahy Ward by the Institute of Certified Records Managers. The Leahy Award is the highest award internationally in the profession of records and information management.

Agenda
8-8:30 Registration, Continental Breakfast
8:30—10:15 An Introduction to Records Management and Winning Strategies for Strengthening Existing Programs an Developing New Programs
10:15-10:30 Refreshment Break
10:30 - Noon Development and Implementing Legally-Valid Records Retention Programs for Paper and Electronic Records and Records on All Media
Noon—1PM Lunch
1:00 - 2:30 Managing Electronic Records
2:30 - 2:45 Refreshment Break
2:34 - 4:30 An Introduction to Imaging and Applications in Records Management

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Inside

Off the Record

Association of Records Managers & Administrators
San Diego Chapter
Editor
Cynthia Lacy
Public Relations
Laura Avilez

Off the Record is a semi-monthly newsletter of the San Diego Chapter for the Association of Records Managers and Administrators.

This newsletter is published to inform the members of activities of the Chapter, and disseminate news and opinions of Board Members, or Chapter Members. Opinions are those of the author, and do not necessarily reflect official policy or opinion of ARMA, the San Diego Chapter of ARMA, or its members. Your statements and articles are solicited.

Email articles to clacy@sddpc.org. Articles submitted by 1st day of month are considered for that period's newsletter.

Earning While Learning

President's Message
By Susan Roberts

The ARMA full-day seminar, Thursday, April 21st , will help to reinforce the things we know about and use on a daily-basis. We will be able to learn the "tricks of the trade" as well as find out information that is new and we information we *should* know about.

Dr. Langemo is a prolific author and world-renowned speaker…….it will be a day of information and discovery for many of us that attend. Do recent world-events affect you and your company? How? What are the records retention resources that we have available to us? Electronic records - how and why ?? And what are the applications we can use in our daily jobs to make our work lives more efficient.

These are just a few of the items of interest that we will be hearing about and learning about when Dr. Langemo comes to speak at our full- day seminar.

If you are hesitating in your decision to attend heo up-coming seminar, know that this same seminar would normally be double the price but because of the hard work of our chapter, we were able to keep the fees low. The seminar will include a continental breakfast, a wonderful Italian lunch buffet as well as a morning and afternoon breaks.

Bring your notebooks and tablets as this will be your great opportunity to find out and renew your knowledge about records management. Learn about imaging and on so many levels - feel like you are taking a college-level class taught by Dr. Langemo.

I hope to see you at the San Diego Chapter's 2005 Full Day Seminar –
It WILL be a great day of learning.

2004-2005 Meeting Programs
April 21

Professional Certification: Does It Matter?

In today's rapidly changing and increasingly competitive work place, distinguishing yourself from the competition can be challenging, to say the least. How can you illustrate your professionalism, your advanced level of still, experience, and understanding in a way that sets you apart from the hundreds of other candidates for a position?

One way is through professional certification.

Professional certification has been a topic of sometimes spirited discussion within the records management community over the past few years. Some records managers believe certification adds value to an individual's professional credibility but is not absolutely necessary for delivering quality records management services. Others feel strongly that without a basic level of testing and consequent certification, it is difficult to independenttly establish a person's professional expertise.

For the records management profession, due in part to a dearth of formal university-level educational programs covering records management subjects, certification has tangible benefits insofar as it objectively establishes a base level of knowledge about the profession. For these reasons, there is a continuing interest in establishing professional competency through credentials.

Some credentials may improve personal income. Some may enhance professional influence, credibility and effectiveness in organizations. The ability to realize records management program goals in organizations is often related to the respect and level of influence that records managers have. Professional credentials—derived from educational attainment, work experiences, and certification—may facilitate respect, power, and authority within any professional realm, including records management.

So what is a "professional" records manager, and how can an individual confidently prove that he or she is one? Would evidence of educational attainment, on-the-job professional experience, competency certification through testing, support of professional organizations, contributions to the professional literature, or all these activities, and more, be expected?

Determining whether you need to be certified requires addressing a variety of complex concerns, including understanding the role of certification in internal and what it adds professionally to an individual as well as how it is perceived in the workplace. An understanding of these issues helps discern what alternative courses of certification may exist and what types of certification are most relevant for any particular course of professional endeavor. The same issues and concerns need to be considered when examining professional certification options for records managers.

At the Core

This article

- **Examines professional certification in records management**
- **Explains why and how to pursue professional certification**
- **Discusses the future of records management certification**

Certification= Professional Identity?

Many records managers believe that gaining certification demonstrates professional competency. Currently, there are bout 900 certified records manages worldwide. Perhaps this number would be larger if there were more marketplace pressure for records management certification.

Practicing medicine or law—at least in the United States—requires completing specific graduate-education programs and passing state-mandated exams. Of course, the educational background to be come a lawyer or a physician vastly exceeds that required to deliver records management services to an organization. This is probably due to the fact that the results of poor legal or medical advice during the practice of law or medicine could be catastrophic for the client, whereas poor advice from a records management professional might be less likely to create immediate or long-lasting injury for an organization In addition, the legal and medical professions have existed for centuries, whereas the records management profession as it is known today, especially in the United States, only began in the 1940s.

With the increasing reliance on electronic records as information assets, the growing volume of litigation using e-mail for discovery, and the advent of recent compliance and regulatory-focused legislation (e.g., the Sarbanes-Oxley Act of 2002), organizations are beginning to see records managements a new light. This newly established and increasing interest in records management programs and technologies may be one of the best opportunities for a certification program to build upon when developing content for test-

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Professional Certification: Does It Matter?

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ing or when simply marketing the need to professionals to become certified. Given these new marketplace trends, it may be possible to create more of a definite relationship between professional identity and the need for certification.

Records Management Certification Today

Many colleges, universities, and training companies are now offering certifications for continuing education courses (i.e., documentation of attendance). In addition, some software vendors offer a type of technical certification regarding knowledge in the installation and use of their technology-based systems. Such courses can vary dramatically in content and testing. However, objective testing by well-informed educators or certification bodies can validate the knowledge base of those achieving any particular certification.

The recognized professional certification for records managers is the Certified Records Manager (CR) designation. The CRM designation is awarded to individuals who pass an examination designed to test knowledge and proficiency in records management subject areas. The CRM exam consists of six parts:

•Part 1- Management Principles and the Records and Information Management Program

•Part 2 - Records Creation and Use

•Part 3– Records Systems, Storage and Retrieval

•Part 4 - Records Appraisal, Retention, Protection and Disposition

•Part 5 - Facilities, Supplies, and Technology

•Part 6 - Case Studies

The goal of certification of records managers is to establish a professional standard of expected knowledge that balances formal education attainment, examination performance, job experience, and a need for long-term continuing education. To ensure that CRMs maintain and develop their professional knowledge, they must attain 100 hours of continuing-education every five years to retain their CRM status. This process is considered vital for the credibility of the CRM designation because of the constantly changing professional challenges that records managers face.

Besides the CRM, other certifications or educational requirements exist in fields related to records management. For example, to work as a professional librarian, even at the entry level, one must typically have completed the educational requirements for a graduate-level master's of science or art degree form a university program accredited by the Committee on Accreditation of the American Library Association. (Here it is the program, not the graduate, that is being "certified".) The Academy of Certified Archivists (ACA) "promotes fundamental standards of professional archival practice." Based on an examination, the ACA awards the CA designation and has a working relationship with the Society of American Archivists, though it remains an independent certification organization.

Additional information industry-related certifications have a more technical focus than the CRM or CA. These certifications include the certified document imaging architect (CDIA+) designation, which tests individuals' technical understanding of document imaging technologies and related implementation issues. Offered by the Computing Technology Industry Association (CompTIA), this technical certification is seen as evidence of specific technical knowledge an d intellectual skills.

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Learn More About Professional Certification

For more information about professional certification, visit these Web sites:

- **Academy of Certified Archivists (ACA) - www. certifiedarchivists.org**
- **American Library Association—www.ala.org**
- **Computing Technlogy Industry Association (CompTIA) - www. comptia.org**
- **The Institute of Certified Records Managers (ICRM) - www. icrm.org**
- **Nuclear Information and Records Management Association (NIRMA) - www.nirma.org**
- **Society of American Archivists (SAA) - www.archivists.org**

Professional Certification: Does It Matter?

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Of course, each information management-related professional area - and individuals seeking certification - will have somewhat different priorities regarding certification. Some certification bodies stress a formal educational background to establish knowledge comprehension; some focus on professional and societal responsibilities; and other require hands-on, demonstrable technical skills. Still other certification organizations emphasize understanding of a highly specialized knowledge base and how such knowledge may maximize professional high-quality contributions in the workplace.

The CRM/NS Certification

In addition to the Certified Records Manager (CRM) designation, there is a CRM/NS (Nuclear Specialist) certification. This additional specialist designation is available to a CRM who wants to be tested and certified as a Nuclear Information and Records Specialist. It came about through a formal agreement between the Nuclear Information and Records Management Association (NIRMA) and the Institute of Certified Records Managers to perform appropriate testing for certification.

Individuals cannot be a CRM/NS however, without first attaining the CRM designation. In addition, the knowledge base required to pursue the CRM/NS designation would be almost valueless for general records managers not actively engaged in nuclear environments. This modes represents a knowledge specialization rather than attainment of a higher level of achievement of overall professional competency.

This certification differentiation model could prompt future consideration of additional specialist certifications for records managers, such as a CRM/E (Electronic Records Specialist) or CRM/L (Legal Records Specialist), should additional specializations become desirable and have market value.

For more information, visit NIRMA's web site, www. Nirma.org.

Who Benefits?

Is the goal of certification to assist individuals, organizations, or professions? There is no single answer to this seemingly simple questions. Some individuals want a credential that signals to their management that they are improving professionally. Others see the accomplishment of certification as a demonstration of adherence to ethical responsibilities and the importance of long-term professional goals and social roles.

Organizations may encourage employees to seek CRM certification or to attend continuing-education courses when they have experienced a need for improving the quality of their records management activities and programs. This is especially true if an organization experiences poor performance appraisals during an audit or when ongoing litigation draws unfavorable attention to t he quality of an organization's records management program. In addition, some records management consulting firms enhance their marketing efforts by stressing the certification of their employees. Among some organizations, the CRM designation is becoming a differentiator when candidates for a position have otherwise similar credentials. For government positions, for example, professional certification often is a requirement.

As organizations become more technology-driven and as implementation of electronic records management practices becomes the norm, they will seek well-qualified individuals to lead efforts to develop truly comprehensive records management programs. This means that these organizations may also take an interest in the value that certification brings to their employees, their business, and their customers. As this interest in certification arises, they may ask several questions of certified individuals or the certifying body, including:

- What varieties of certification are available?
- What knowledge base does the certification award actually "certify"?
- Can individuals be certified at different levels of basic skills?
- Are different types of additional certification available?
- What is the difference between (a) professional certification, (b) receiving a certificate of completion for attention educational seminars, and © credit-bearing academic courses?

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Professional Certification: Does It Matter?

➢Does employment of certified individuals accrue or imply any sense of "certification" to the employing organization?

The quantifiable personal value of any particular credential for specific individuals may depend largely on their assessment of the certification's relationship to immediate job responsibilities. Those practicing in an archival science or a related job may benefit rom gaining CA certification. If practicing in a document imaging technology-dominated area, they may benefit from CDIA+ certification. Each individual will need to make becoming certified a personal decision, taking into consideration their immediate job needs and long-range professional goals.

The Future of Certification

There is little question that the growing reliance of many organizations on managing records in electronic formats will increase management's expectation that records managers must be exceptionally competent in both computer skills and knowledge of computer technologies. Records managers, then, mush be competent in information and computing technologies if they are to participate in systems design and management. In addition, it will be increasingly impractical to inventory, accession, describe, index, and apply retention concepts to electronic records residing in electronic technologies and systems.

Ultimately, individuals must consider their personal goals for professional development and determine the best educational and certification processes to achieve those goals.

References

Cos, Richard J. "Who Are We? Who Knows What We Are? *Records and Information Management Report.* December 2002.

Guidelines for a Graduate Program in Archival Studies. Available at *www. Archivists.org/prof-educational/ed_guidelines.asp* (accessed 26 August 2004

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San Diego ARMA Board Meetings

May 18

Gaining Strength from SARBOX

To hear many company executives tell it, the Sarbanes-Oxley Act has been a monumental burden, sucking up time and resources withoumaking their businesses more competitive.

At MasterCard International, Inc., complying with Sarbanes-Oxley financial-reporting regulations required 45,000 staff hours of work provided by its consultant, Deloitte & Touche, and its external auditor, PriceWaterhouseCoopers. "The cost has been overbearing." says Chris McWilton, CFO at the charge-card company with $2.6 billion in revenue.

But MasterCard is trying to get something back from that investment. A post-mortem of its Sarbanes-Oxley compliance effort, looking at what worked and didn't work, found poor documentation of financial controls that could have been automated, but weren't. Among the lessons learned is that "standardization of processes minimizes the risk of misstatements on financial reports," McWilton says.

MasterCard isn't alone in trying to learn from its Sarbanes-Oxley experience. Nextel Communications Inc. found it needed to do a better job controlling employee access to sensitive data and IT systems. And United Technologies Inc. discovered that it wasn't making full use of the financial controls built into its enterprise-resource-planning systems.

U.S. companies are expected to shell out $6.1 billion this year alone for the manpower, IT, and consulting services they need to comply with Sarbanes-Oxley, according toe AMR Research. The Securities and Exchange Commission estimates that companies collectively spend nearly 5.4 million staff hours each year implementing Sarbanes-Oxley section 404—the part of the federal legislation that deals with financial-reporting controls. No wonder Sun Microsystems CEO Scott McNealy in 2003 likened Sarbanes-Oxley to throwing "buckets of sand into the gears of the market economy."

Sarbanes-Oxley, which took effect late last year, was designed to improve the quality of financial reporting and restore confidence in financial statements in the wake of the Enron and WorldCom accounting scandals. Certainly, it ha been a headache for some businesses. Major companies, such as Sun Trust Banks, Eastman Kodak, and Toys "R" Us, already have reported accounting problems that may preclude issuing a statement in their 2004 annual reports attesting to the effectiveness of internal financial-reporting controls as required by the law. If the companies don't address problems in a timely manner, they could face SEC enforcement actions.

Forward-looking companies see Sarbanes-Oxley compliance as an opportunity to identify and implement business-process improvements, AMR Research analyst John Hagerty says. "They're using compliance initiatives to drive business

This article appeared in *Information Week,* Issue 1031, March 21, 2005 and was written by Steven Marlin. You can write to Steven Marlin at smarlin@cmp.com. **Visit Compliance Pipeline: informationweek.compliancepipeline.com**

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improvement and achieve greater profitability." At Nextel Communications, which is merging with Sprint Corp., the compliance process "began as an administrative task but has evolved into a basis for achieving competitive advantage," says Michael Bryan, who until leaving the company last week was Nextel's director of IT governance.

While working through the steps to comply with Sarbanes-Oxley, Nextel mangers discovered they needed to pay more attention to how employees were given access to sensitive data and programs. Although Nextel had created written access-control policies, they were enforced haphazardly, if at all. The company installed Thor Technologies Inc.'s Xellerate Identity Manager system to automate the management of Nextel's 90,000 user identities. "When someone asks for an audit trail of access privileges, the relevant documentation is contained in the Thor system," Bryan says.

Access to programs and data is one of the major IT controls mandated by the Public Company Accounting Oversight Board, a private, non-profit body that sets auditing standards for Sarbanes-Oxley. Other controls include monitoring computer operations, software development, and software change management.

Companies are finding that beyond complying with Sarbanes-Oxley, automating access controls helps enforce information security policies, such as limiting access to sensitive data to authorized users, according to a February report from the Aberdeen Group market-research firm that examined the Sarbanes-Oxley compliance efforts of 40 companies. And information security and access control are going to become increasingly vital for compliance, not only for Sarbanes-Oxley but for the Health Insurance Portability and Accountability Act and other regulations. As information security and access control become more important, they're being transformed from a set of ad hoc activities into coordinated business processes.

Brightpoint Inc., which provides outsourced manufacturing, logistics management, and marketing services such as Web-site management to wireless phone companies, spent about $3 million last year on Sarbanes-Oxley compliance. The company has gained peach of mind that it had the necessary financial controls in place for complying with Sarbanes-Oxley, CFO and executive VP Frank Terence says. But working through the compliance process also uncovered areas where business processes needed to be improved, particularly IT change-management processes and procedures used to control access to critical software programs and data.

"We needed to strengthen processes for requesting, developing, approving, and testing: programming changes, such as the frequency with which a customer's Web site gets updated, Terence says.

Access-rights management, such as controlling which employees have access to Web content, is especially hard to enforce across a global company in which each division has its own IT organization, Terence says. Brightpoint plans to implement systems that automate its change-management and access-control processes.

Working through the compliance process has even convinced Brightpoint to accelerate efforts to hire its first corporate CIO, originally planned for later this year. "The CIO will play a critical role since so much of section 404 compliance navigates through the IT infrastructure," Terence says. Financial controls, as defined by the Committee of Sponsoring Organizations, a nonprofit organization of auditing firms, encompass more than just financial reporting. They also address operational effectiveness and efficiency—ensuring that management identifies and analyzes risks to achieving predetermined objectives, for instance—in addition to compliance with laws and regulations. So effective financial controls developed to comply with Sarbanes-Oxley also can be leveraged to improve business performance.

MasterCard is trying to leverage the work it has done for Sarbanes-Oxley into a broader-based enterprise risk-management initiative, CFO McWilton says. Sarbanes-Oxley "focuses on only one slice of a company's risk profile," the one associated with financial reporting, he says. "But companies dial with a broader range of risks, many of them operational in nature."

Under Sarbanes-Oxley, a bank needs to test controls for ensuring that it has adequate rserves set aside to cover bad loans. But th ebank also needs to examine its operational practices, such as credit or collections, associated with lending. "It needs to understand what caused the bad loans to begin with," McWilson says. The company is "also looking at making greater use of technology, particularly in user provisioning, to track who has access

THE UPSHOT

Companies will spend more than $6 billion on Sarbanes-Oxley compliance this year alone

Many companies say the cost of compliance so far exceeds its value, but other say they've learned important lessons about automating controls and improving processes

For those companies, benefits include increased security, more standardization in other policies, improved use of software, and even competitie advantages.

Gaining Strength from SARBOX

process changes.

That's the situation at AGL Resources Ind., an energy-services holding company that has spent $4 million on internal staff, consultants, and external auditors for Sarbanes-Oxley tasks. "Most companies in 2004

were more worried about getting in compliance," says Ron Lepionka, AGL's chief auditor. The company has implemented business-process-management software from Oversight Systems Inc. to test its entire population of procure-to-pay transactions to pinpoint possible errors or fraud and plans to use that as part of its Sarbanes-Oxley compliance efforts this year. It's also designing new tests of its internal controls. "In 2005, many companies will start looking at improving processes and automating controls," Lepionka says.

The sooner the better, says Steve Hill, national partner in charge of risk-advisory services at accounting services firm KPMG LLP. By incorporating financial controls and other Sarbanes-Oxley-inspired processes and technologies sooner rather than later in planning decisions, companies will be both more efficient and effective, he says.

"Five years from now," Hill predicts, "people will look back at their compliance initiatives as a catalyst for business improvement."

2004-2005 Meeting Programs

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Electronic Records Management on a Shoestring: 3 Case Studies

Business entities, both private and public, have come to appreciate information as an asset, and they realize that it must be managed effectively to provide the maximum benefit to business efficiency and economy. However, resources for managing records - including human, financial, and electronic - have not always been generously supported in business budgets. Records managers often face an uphill battle to incorporate electronic records management (ERM) into their programs.

But starting with almost nothing in the way of basic tools and funds is not as daunting as it may seem. With a bit of ingenuity, a records manager can build a more effective program than if he or she started with a huge budget.

Integrating ERM is not primarily a battle with management for resources; it is a culture war for the hearts and minds of the people who create and use records. People are generally comfortable with the way they do business and are usually skeptical of "outsiders" seeking to "improve" the process. Cooperation of the business staff is what the records manager and the IT staff need to successfully implement ERM. Converting a manual program piecemeal to an electronic records program may seem frustrating at the outset, but the extra time it takes allows the records manager to plan carefully, spend ver little money initially, and start with small projects of changes that have a greater chance of success than a huge enterprise-wide initiative.

Low-Budget Ways to Implement ERM Programs

Case Study 1: Digitizing Bank Examiner Work Papers

The records manager in a federal banking agency was facing the challenge of converting a manual records system to an ERM system. She sought a business unit that was already doing business electronically. The bank examination staff was using a software package, developed in conjunction with several other federal bank regulators, to create and store examination work papers. The creation and preservation of complete, accurate, and trustworthy bank examiner work papers are paramount because bank ratings depend on examination results. The records manager asked the IT staff to develop a small set of computer code so that when a set of examiner work papers was saved by a bank examiner, a copy would be automatically sent to a folder controlled by the records manager. IT added appropriate codes to ensure that only the records manager had access to the folder.

The records manager did not consider the new procedure a bona fide ERM system. However, the project achieved several goals. The records manager gained

Electronic Records Management on a Shoestring: 3 Case Studies

control of an important set of electronic records. She established a working relationship with IT and the business unit. The bank examiners were able to send electronic records to the records manager through a seamless process. She used the metadata developed for the records in this project as the foundation for agency-wide metadata standards. The project cost a fraction of what the agency would eventually pay for an ERM system. By undertaking a small, low-budget project, the records manager was able to demonstrate that the ERM system was workable and to make a more informed recommendation for an enterprise-wide system.

Case Study 2: Implementing ERM in a Small Federal Way

Prior to implementing an ERM program, a records manager will want to find out what other people in the organization do. When developing a records management program in a small federal agency, a staff of two set up a series of one-hour "show-and-tell" sessions for work groups in various business units. One session featured the fundamentals of records management an related them to the general work of the audience. In another session, business units were asked to describe their business processes, explain interactions with other business lines, list the documentation created or received, and recommend the length of time the information needed to be available.

It was important to schedule the sessions at a regular time and limit them to one hour each. If the discussion was not completed in an hour, participants returned to the subject in the next session. The records management team also took note sand circulated them for comment either via e-mail or at a subsequent session.

The goals were to

develop records retention schedules that should accommodate paper and electronic records

design and implement the beginnings of an ERM program that would meet the needs of the business units

give the business units a sense of ownership in the records management policies and procedures

The records management team did not impose a new process; it reached solutions through collaboration. Understanding how the business units operated and establishing rapport were vital factors in the success of the records management program because, as both providers and users of records, the business units were its major clientele.

The records management staff's collaborative approach did not add to the agency budget. It asked for time in small increments, making it easier for people to commit to the project. In addition, the agency did not have to find a sizeable extra appropriation for a consultant or ask busy staff to give up large blocks of time. All

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ADD IT UP: Compliance doesn't come cheap

Of all the regulations companies face—from the USA Patriot Act to the Health Insurance Portability and Accountability Act—Sarbanes-Oxley is consuming the most effort. This year, spending to comply with Sarbanes-Oxley will reach $6.1 billion, according to AMR Research. And 60% of 223 business and IT executives surveyed bu the research company have Sarbanes-Oxley compliance efforts under say.

Personnel tops the list of Sarbanes-Oxley-related costs at $2.6 billion. Much of that is being spent on consultants and external auditing firms. Technology and services account for $1.7 billion each. Companies will spend about $1 million on compliance-related efforts for every $1 billion in revenue.

The compliance situation is complicated by the fact that regulators have little to say about how companies should go about implementing the security controls required by Sarbanes-Oxley. "Most organizations are baffled," says Paul Proctor, a Meta Group analyst.

Companies will spend close to $15.5 billion on compliance-related activities this year, according to AMR Research. Besides Sarbanes-Oxley, these include HIPAA ($3.7 billion) and regulations from the Securities and Exchange commission ($1,3 billion), the Food and Drug Administration ($1.1 billion), and others ($3.3 billion). AMR estimates that the total tab for compliance-related spending over the next five years will be $80 billion.

-Steve Marlin

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participants were better informed about agency business processes, making changes easier to implement effectively.

Case Study 3: Presenting the Case to Management

A third low-budget technique for managing electronic files was undertaken by the law librarian of the legal division of another federal agency. Technically speaking, not directly part of a records management program, this project prepared the way for later implementation of ERM. The agency had a long-standing central filing system managed by a records section consisting of file clerks. The legal division sent paper versions of all material deemed to be records to the records section. The The attorneys created all their documents in a word processing program, but they received many paper documents from outside the agency. The attorneys spent much time searching Legal Records for information relevant to their current projects; they also complained about having to retype sections of documents that were not available electronically.

The law librarian began asking attorneys how their work processes could be improved. She went to demonstrations of newly marketed records management applications. She gathered information on the several operating systems used in the agency to produce the documents received in the legal division and researched product capabilities, costs, and analyses online. She reviewed the division's software product, which featured several functions that the division was not using, such as scanning and electronic document storage. She reported the advantages, disadvantages, and costs of implementing several systems. Ultimately, she recommended expanding the use of the software package already in limited use on the basis of its flexibility to meet the needs of the legal staff, its shorter learning curve, cost of implementation, and track record for service. When she presented her carefully documented request to management, it signed off because the plan was deftly prepared and credible.

The law librarian did not consider her document capture and storage system a bona fide records management system She was aware of the early efforts to upgrade her agency's records management program and of the fact that her division would eventually be part of that program. When it came time to integrate the division into the agency's ERM program, the staff was already informed and comfortable with storing, protecting, and accessing electronic records.

Small Success = Solid Foundation

Records managers have assets that to not require large staffs and generous budgets to build. Credibility is one of the most valuable, and it should never be squandered. Records managers establish credibility by being current on the principles, practices, laws, and regulations relating to ERM. They are careful to plan wisely for any project; thinking through to the final result and considering what steps will reach that result. Planning, of course, is much less expensive than fixing. Managing expectations for the outcome of a records project is a primary responsibility and requires resisting the temptation to over-promise or to allow unintended growth of the project. Achieving a small success establishes a solid foundation for future projects.

Another important tactic for records managers is to sell the positive business benefits of ERM. So much is written about risk management that is is easy to forget the benefits. Managers need efficient, economical access to authentic, trustworthy records in order to make timely decisions. Staff must complete work in a timely, efficient manner. Public organizations need, or want, to make information about their programs and services available to the public. Attorneys should defend the organization in court and protect the rights of individuals. One set of electronic records, effectively captured and well-managed, can be used for a multitude of purposes by any number of people simultaneously.

Today, greater accountability is demanded of public and private company employees and managers because of corporate malfeasance. As organizations convert to electronic commerce and business processes, they records and business processes, the records detailing agreements within and between/among organizations and documenting who di what, when and why, are created in electronic systems. Electronic media allow faster, more encompassing access to information that formerly had to be searched manually, either one filing system at a time or by multiple staff members assigned to one task.

Achieving a Successful Outcome

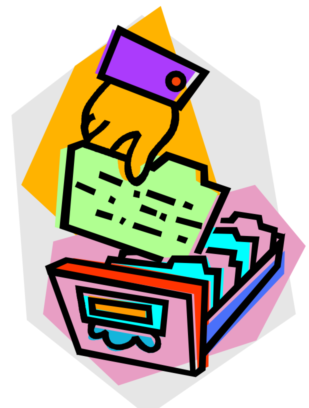
Several interim measures are available to records managers with few resources. They can begin by providing business users with definitions of records and the recordkeeping requirements that apply to their business functions. Then they can persuade business units to store electronic records in a secure location, either by dedicating a separate system to records storage or by having IT provide read-only access in a separate location within an extant system. They can help business units develop a standard minimum set of qualities (metadata) to describe records in electronic systems. They also can explain that limiting acceptable file formats accommodates storage and records retrieval.

Electronic Records Management on a Shoestring: Three Case Studies

Effective communication is vital and inexpensive. Records managers must always consult the business users when developing the metadata. Even though most of the metadata collection will be transparent, the users must be comfortable and familiar with the terms used for gaining access to the records. Soliciting users groups among system end users ensures that necessary changes can be made and engenders cooperation with the implementation. Records managers should use the ideas that have merit and explain why other suggestions cannot or will not be incorporated. Those invested in a system will be more likely to use it when it is implemented.

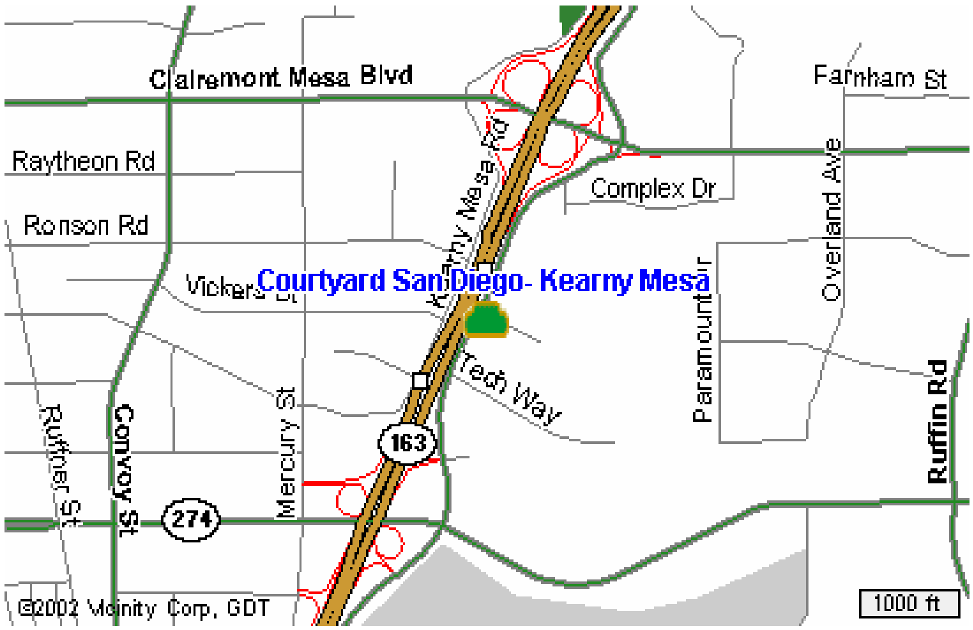
Records managers have incentive to work with IT and the business unit to modify or build recordkeeping capability into current and new systems. They need to cooperate to identify the certification criteria for their organization's ERM systems. Doing so will save time, money, and stress during the conversion to a certified ERM system because many of the necessary features will be in place both culturally and technically.

No program comes to fruition in one economic and efficient stem. A fullfledged certified ERM system will take time to develop and implement and will cost a substantial sum. The records manager who takes incremental, low-cost, high-value steps will contribute significantly to a successful outcome.



April Registration Form

Marriott Courtyard—Kearney Mesa
8651 Spectrum Center Blvd.
San Diego, CA 92123
(858) 573-0700



To Register: FAX this form to **Linda Maczko at (858) 534-6523**, or **Call Linda @ (858) 534-3395**, or **Email** : lmaczko@ucsd.edu **NO LATER than 3:30 p.m., Friday , April 15, 2005. Cancellations later than 48 hours prior to the event will be billed to the person registered.** *If not sending advanced payment, cash or check payment required at registration.*

	Member	Non-Member
Lunch (please circle)	**$95.00**	**$120.00**

Name: ____

Organization: ____

Phone: ______________________ **FAX :** ______________________ **EMAIL :** ______________________

FYI

Here's the URL to a very important site—the Chapter Connection on the ARMA International Website!!
Go to *http://www.arma.org/intranet*

Click on Chapter Connection
Check out this URL to find out about

ARMA Webinars / Calendar of Events

http://www.arma.org/resources/calendar.cfm

FREE TRAINING CLASSES!!

Centers for Education and Technology (CET), a part of the San Diego Community College District, is offering free training classes in a wide range of topics. Their Business Information Technology courses include offerings in HTML, XML, Java programming, JavaScript, UNIX, Cisco, Oracle, Linux, Visio, A+ Training, TCP/IP, MS Office and many others. These courses are offered at several campuses throughout the city.

Please take a look at their web site, **http://www.sandiegocet.net/index.php**, for class and registration information.

Check out vital information you might have missed!
http://www.arma.org/learning/seminar_archives.cfm
This is a link to ARMA Audio and Web Seminars that you might have missed.

ARMA International Conference:
http://www.arma.org/conference/index.cfm

Pacific Region Leadership Conference:
http://www.armapacific.org/leadership.html

ARMA Information

Compliance/Risk Management
Electronic Records
Legal/Regulatory Issues
Privacy
Records/Info Management
Standards/Best Practices

New Online Courses: Issues and Approaches in Archiving Electronic Records. ARMA's new online course will introduce you to the unique issues inherent to archiving electronic records. Learn about the strengths and weaknesses of various approaches to electronic records archiving, as well as recommendations for electronic archival processes and systems. Now available in the ARMA Learning Center.

Useful Links

The Board of Directors is seeking members interested in serving on the Board. Two positions that are open are Newsletter Editor and Web Manager. PLEASE contact any of the Board members if you are interested in serving !!

Membership Corner
By Linda Maczko

Welcome From the Membership Corner – **"ENERGIZE – Plug Into the Source!"**

As of March 1, Energize campaign participants have recruited 405 new members – that's 81 percent of ARMA's overall goal!

In July, San Diego ARMA started with 81 members. As of today we have 88 members. As some members leave us to go to other jobs, other places, or other directions, we are fortunate to gain members either those who already belong to ARMA International but not our local chapter, replacements for those members who have left, and new members. I would like to take the opportunity to welcome and recognize these individuals.

Thanks to those ARMA members who have chosen to join our local chapter:

Cheryl A. Young, CDIA	Continental DataGraphics
Tayna Bjork	City of Carlsbad
Rizalito V Ruiz	Manpower
Shelley L. Collins	City of Poway

Over the past 2004-05 year our membership has grown with the following new representatives and new members:

JULY

Joe Conroy	Latham & Watkins LLP
Salam Hasenin	City of San Diego
Tamara D. Koepsel	Pfizer Inc
Jeffrey Whitney	Lightpointe Communications Inc.
Christy Zemba	FileFax

AUGUST

Jan E. Uhlman	Heller Ehrman

SEPTEMBER

Eric Solberg	IntegriDoc
Lynnette Tyler	SDCRAA

OCTOBER

Candice Glaspie	San Diego County Regional Airport Authority
Doria F. Lore	San Diego County Water Authority
Edmund Vea, Jr.	Sempra Financial
Janet Vohariwatt	IChanneX Corporation

NOVEMBER

Evelia Y. Arellano	Imperial Irrigation District
Maria D'Aquila	Best Best and Krieger

JANUARY

Francine Limon	American Solutions for Business
Bruce L White, CRM, PMP	Sempra Global

Off the Record

San Diego ARMA Chapter—2003/2004 Officers/Directors

Office	Person	Company	Phone	Fax
President	Susan Roberts	Corovan sroberts@corovan.com	858-748-1100 x263	858-679-7341
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Treasurer	Alex Fazekas-Paul	Sempra Energy Research Afazekas@sempragenration.com	619-696-2949	619-696-2119
Programs	Richard Berlin	Document Imaging Service Corp rberlin@nomorepaper.com	619-296-3472 X100	619-296-3479
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Newsletter/ Web	Cynthia Lacy	San Diego Data Processing Corp clacy@sddpc.org	858-581-9763	858-581-9606
ISG/Membership Co-Chair	Tracee Hughs	Ross, Dixon & Bell, LLP thughs@rdblaw.com	619-557-4351	619-231-2561
Membership Co-Chair	Linda Maczko	UCSD lmaczko@ucsd.edu	858-534-3395	858-534-6523
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Hospitality	Jennifer Ota	Iron Mountain jennifer.ota@ironmountain.com	858-404-1602	858-455-7125

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