



## The 21<sup>st</sup> Century Records Manager - Are You Prepared?

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## Our Goals for Today

- Recognize the difference between traditional, today's and tomorrow's records management programs
- Identify what **"The Cloud"** is, and examine the relationship that records management brings to cloud computing
- Discuss the importance of managing all electronic records in an organization
- Analyze the risks and rewards of a legally compliant records management program
- Apply the ARMA International Competencies to your records management role

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## The Differences

- **Traditional Records Management**
  - Isolated business function
  - Paper based
  - Technologically limited and/or inadequate
  
- **Today's Records Management**
  - More recognized and involved
  - Paper and Electronic
  - Dependent upon technology

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## The Differences Continued

- **Tomorrow's Records Management**
  - Prominent Business Function
  - Information Management
  - Asset Management
  - Intellectual Capital Management
  - Organization Intelligence Management
  - Electronic Information - Paper Dwindling
  - Technologically Advanced

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## Changing RIM Landscape

**The Differences**

	Paper Based	Back Office	Technical Focus	Compliance	Electronic	Risk Management	Prominent Business Function	Advanced Technology	Paper Dependence Dwindling
Yesterday	✓	✓	?	?					
Today		✓	✓	✓	✓	✓			
Tomorrow			✓	✓	✓	✓	✓	✓	✓

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## The Cloud

- **Cloud computing** is Internet-based computing, whereby shared resources, software, and information are provided to computers and other devices on demand, like the electricity grid. (Wikipedia)
- **Cloud Solutions**
  - **Communications** – Email, instant messaging
  - **Enterprise Content Management (ECM)** – Capture, document management, workflow, records management
  - **Business Continuity** – Disaster recovery systems

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## An Idea of The Cloud



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## Will the Cloud Remain?

- **Steve Ballmer, Microsoft CEO**, stated that “Microsoft is all in when it comes to cloud computing”
- **Brad Horowitz, Google VP**, stated that “**regulatory issues are better solved by the cloud paradigm.**” He argues that it is easier to do e-discovery if the data is all on central servers instead of spread out on PC’s.
- **Greg Taylor, Sony**, stated that “**all content that poses no threat to customer privacy or data security should be shipped off to the cloud.**”

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## Records Manager's Role in the Cloud

- **Collaborate** with IT, Legal, Compliance and Security
- **Define processes for:**
  - Information ownership
  - Retention
  - Security
  - Privacy
- **Participate** in writing 3<sup>rd</sup> party service level agreements
- **Develop** performance metrics and auditing controls
- **Take the lead** as courts will continue to require organizations to manage their information

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## Electronic Records

- **RIM Status – Cohasset/ARMA Survey (2009)**
  - **34%** of organizations polled stated that they do not have a formal process for responding to **discovery** requests
  - **35%** of respondents stated that electronic records are not included in their **records retention schedules**
  - **41%** stated that IT/IS has primary responsibility for **managing** their electronic records
  - **43%** reported that they are not confident that their electronic records are **accurate, reliable and trustworthy**
  - **47%** said they do not have a formal retention policy for **email**

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## Successful Electronic Records Programs

- Senior executive support
- Strategic plan
- Commitment to digital recordkeeping
- Tactical partnership with IT
- Adequate funding and staffing
- Deployment of advanced technology solutions
- Program development in compliance with RIM standards and best practices, including GARP

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## Records Manager's Role in Electronic Recordkeeping

- **Have overall responsibility for managing all information assets of the organization**
  - Policy planning and compliance monitoring
  - Electronic records inventory and records retention schedule development
  - Technology solution analyst
  - Digital preservation specialist
  - Provide RIM training
  - **(Some of these elements above can be delegated/outsourced, but the records manager must be responsible for the program)**
- **Collaborate with IT, Legal, Compliance and Security**

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## Compliance

- Conforming to a rule, such as a specification, policy, standard or law
- The complex set of processes, rules, tools and systems used by corporate legal departments to adopt, implement and monitor an integrated approach to business problems
- There are over 18,000 federal and state statutory and regulatory requirements that affect records retention.
- **Sarbanes Oxley:** this 2002 Act imposed regulations on public traded corporations to ensure they institute, document, and certify adequate financial controls
  - Personal liability and criminal penalties for corporate officers not complying with SOX
- **FRCP amendments** went into effect December 1, 2006
  - Introduced the term **“Electronically Stored Information” (ESI)** into discovery jargon

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## Compliance - Risks and Rewards

- **Best practice** – Retain only those records needed to operate the business and comply with all laws. All other records should be destroyed per retention guidelines.
- **Risks**
  - Courts do not look favorably on failing to follow RIM policies
  - Fines, sanctions, prison
  - Complying with discovery orders can be burdensome and expensive
- **Rewards**
  - Maintain compliance with laws and regulations
  - Control the growth of records
  - Reduce storage costs

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## Records Manager's Role in Compliance

- **Research and apply those laws and regulations that apply to your industry**
  - IRCH (Don Skupsky) - Legal Requirements for Business Records
  - Zasio Enterprises – Versatile Retention
  - LexisNexis – Compliance Manager
  - WestLaw - Next
  - TheLaw.net – Equalizer
- **By knowing the legal requirements, a legally defensible records retention program can be developed**

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## Job Security Tips!

- Understand your organizations **strategic direction**, and how you can make an impact on the bottom line
- Ensure your **role is meaningful** to the success of the company
- Educate yourself on **new technologies**
- Stay aware of **changes** happening in the RIM industry
- Expand your **RIM skill set**

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## Competence: Today and Tomorrow

- The ability to perform a specific task, action or function successfully
- The knowledge, skills, characteristics, or traits that contribute to outstanding performance in a particular profession
  - demonstrated in such a way that they can be observed, measured, and rated
- A competency model can be used to identify gaps between present knowledge and skill sets and those required for excellent performance within the current job or for advancement to the next job level.

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## The ARMA Competencies

- **The Levels**
  - **Level 1** - Entry-level position
  - **Level 2** - Prior RIM knowledge, skills, and experience
  - **Level 3** - Seasoned practitioner
  - **Level 4** - Executive level
- **The Domains**
  - Business Functions
  - RIM Practices
  - Risk Management
  - Communications and Marketing
  - Information Technology
  - Leadership

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## ARMA - RIM Self-Assessment

- Document your strengths to management when discussing your performance, career goals, and development needs
- Improve your skills and increase your market value
- Create a professional development plan to guide your career

**Free to all ARMA members!**

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## Thank U!

### Questions and Discussions Continue

**Take away – Organizations are looking for someone to step up and tackle these challenges. If not you, who else will?**

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