



President's Message

By Jannette Goodall

It is hard to believe that the summer break is just around the corner. My first year as your Chapter President has been both challenging and extremely rewarding. The Austin Chapter is a fabulous group of professionals. Throughout the year, both my fellow Board members and Chapter members have stepped up to the plate every time I asked. It has paid off in another extremely successful year. In case you missed anything, let me recap where the year went:

- ARMA Austin won Honorable Mention for Chapter of the Year – Large Category for 2008 at the ARMA International Conference in Las Vegas.
- Even with the tight economy and budget cuts, the Chapter's membership grew by 1.4%.
- The Chapter provided eight educational sessions and one full-day seminar.

- Shred Day 2009 was a huge success with over 57,000 pounds of material being shredded and recycled.
- The Chapter collected 182 pounds of food and over \$4,685 dollars for the Capital Area Food Bank.
- Three members became Certified Records Managers increasing the percent of CRM in the Chapter to 14.5% of the total membership.
- Eleven vendors supported the Chapter throughout the year with two additional vendors making one-time donations for the Spring Seminar.
- Chapter members participated in the SW Region Leadership Training, ARMA International Conference, E-Records Conference and NARA Southwest Region E-Records and RACO – Texas Conference, just to name a few.
- Chapter members are working with Child, Inc. a non-profit organization that provides Head Start services to under-

privileged children in the Austin area to develop a records management plan.

The Chapter completed submissions for Chapter of the Year 2009 and Newsletter of the Year.

As Chapter President, I have found it difficult if not impossible to keep up with all the wonderful work you perform everyday. This is an amazing group of records management professionals and I want to thank each of you for being members of the Austin Chapter. I am humbled and honored to tell everyone I am affiliated with you and I love to brag about this Chapter with our colleagues in the Southwest Region. Keep up the good work and I look forward to working with each of you next year. Have a fabulous summer.

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New Members:

- Patricia Strebeck
- Nichole Edwards
- Stephen Quick
- Marya Crigler
- Sharon Baxter
- Rich Cohen
- Patricia Drumtra
- Linda Strange

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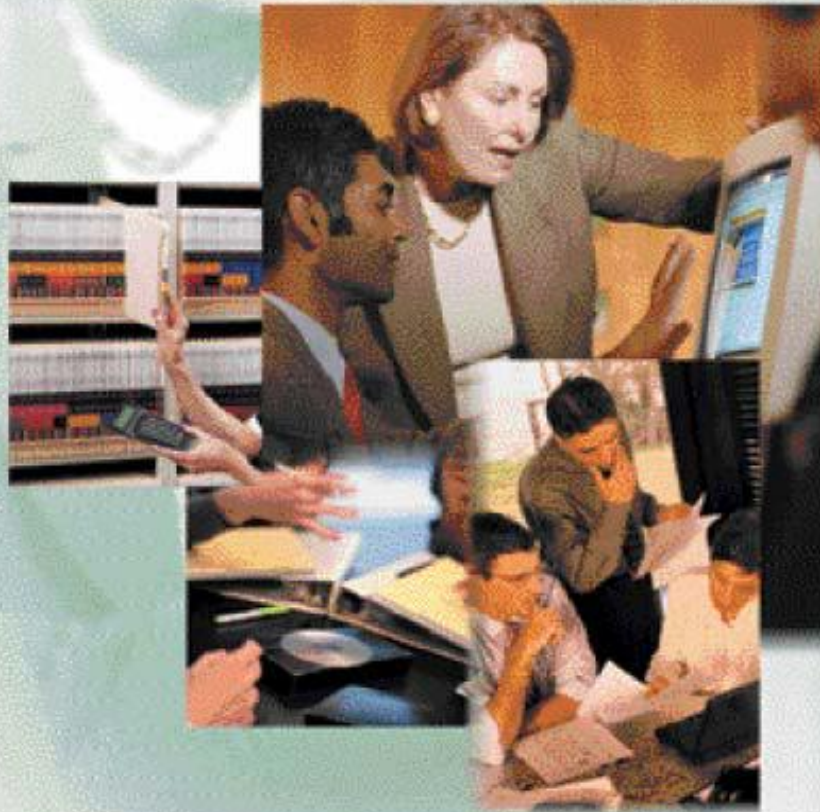
Treasurer's Report

Starting Balance as of 4/8/2009:	11,662.00
Ending Balance as of 6/10/2009:	7,598.67

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Member Spotlight: Vicki Bryant

Name: Vicki Bryant - My name will be Vicki King after June 28th

Member Since: 2006

Current Board Position: Programs Co-Chair – 2 years

Job Title: Quality Specialist

Company: Tokyo Electron America

Email Address: vicki.bryant@us.tel.com

Area of RIM Expertise: 11 years experience in Controlled Documents field (ISO related); 4 years Records Management

Hobbies: Love to read; crochet; buy odd pieces of silver and polish them

Favorite Book/Movie: Celia Garth/American President

Claim to Fame: The only thing I can think of is I was a breakout session speaker at 2 of Open Text's LinkUp annual conferences.

Other Facts/Experiences: I will be getting married in Virginia on June 28th
I have 3 sons and 2 beautiful granddaughters

○

Vicki's getting Hitched!
Congratulations!

International Retention Scheduling: A Risk-Based Approach

By Cheryl Watrobka, CRM.

Over the past decade, an enhanced and more challenging regulatory environment has emerged, impacting how global organizations handle enterprise data. The risks familiar to US companies have world-wide relevance. As we saw in the European Union's decision to uphold the \$600M fine levied against Microsoft and the recent \$1.5 billion penalty levied on Intel by the EU anti-trust authority, litigation and regulatory compliance are risks faced outside the US as well.

Why paying attention to requirements in other countries is important for companies doing business internationally

Many, if not all countries, have commercial codes; tax, HR, and environmental laws; and several have enacted SOX-like ethics laws, including Japan, Australia, and Canada. Wherever business is conducted, failure to comply with the local laws puts the company at risk of fines, sanctions, and other penalties. Equally important is the risk of brand impact, where the organization has much to lose in the public eye and can suffer

significant losses at the hands of other stakeholders, such as customers and investors.

Which issues in addition to retention are significant

Many of the requirements in other countries deal with important recordkeeping issues beyond retention. Personal data privacy, as one, is an issue that is almost incompatible with traditional records retention. Businesses with global operations are now obligated to develop a standard for corporate compliance that reconciles US e-discovery and retention rules with foreign privacy law requirements, such as those set forth in European Union Directive 95/46/EC on the protection of personal data, the German Federal Data Protection Law and Canada's Personal Information Protection and Electronic Documents Act (PIPEDA). These laws require companies to delete, destroy, or make anonymous personal information after the purpose for which such data was collected has been satisfied, which can be a shorter time than required to be retained in the US.

Some laws and regulations now mandate that companies man-

age their electronic and physical records more carefully and in a more sophisticated manner. According to the Dutch Data Protection Act, even email address can be regarded as Personal Data. The EU E-Commerce Directive provisions also apply to the processing of names and e-mail addresses of website visitors. Laws may also affect the transfer of such personal data/information to third parties and/or across country borders. The Swiss Privacy Law, for example, requires authorization to transfer data abroad.

Beyond retention requirements and privacy directives, there are security standards and restrictions on certain media storage formats. This complexity, combined with litigation risk and cost, are the challenges that companies encounter with global information management. Sorting through the many requirements of retention, privacy protection, media security, and data transfer in any one country is complex. But many companies do business in dozens of countries—even upwards of 100-150, so global compliance is even more difficult to recommend.

How to manage risk, cost, and complexity

Unfortunately, there is no comprehensive resource on a global level to spell out recordkeeping requirements. There are different legal systems. Official versions of laws are in local languages and good translations are not always available. In the absence of law, there may be different business practices. Nonetheless, global organizations are looking for records management (RM) solutions that are both generally compliant and industry specific at costs they can afford and rationalize.

The traditional approach to records management from a legal records retention perspective is an exhaustive multi-jurisdictional legal review. Where many countries are involved, this is prohibitively expensive and may be an unnecessary and costly method of mitigating risk. Another approach is to determine international records retention requirements by balancing risk and cost.

A risk-based approach combines RM expertise with legal expertise to help control associated risk, cost and complexity. RM and Legal each have respective strengths and weaknesses. Re-

Save This Date

Sustainable Archives: AUSTIN 2009

[Hilton Austin](#)

Joint Annual Meeting of the Society of American Archivists and the
Council of State Archivists (CoSA)

Pre-conference Programs: August 9–11, 2009
 Conference Dates: August 11–16, 2009
 2009 Exposition Dates: August 13–14, 2009



SAA/ARMA Reciprocal Registration Fees: The SAA and ARMA International governing bodies have approved a resolution that permits the members of each organization to attend the other's annual conference at member rates. The resolution is intended to encourage expansion of educational opportunities for both professions. SAA/ARMA/CoSA members all share the same rates!

Check the SAA Website for Updates

<http://www.archivists.org/conference/austin2009/index.asp>

Registration Fees for AUSTIN 2009	SAA/CoSA/RMA Members	Employees of Member Institutions	Nonmembers
Early-Bird (by 7/6)	\$299	\$349	\$399
Advance (by 7/20)	\$349	\$399	\$449
On-Site (after 7/20)	\$399	\$449	\$499
One-Day	\$159	\$174	\$189
Student*	\$119	\$144	\$169
Student One-Day*	\$99	\$114	\$129
Guest	\$99	\$114	\$129

Learn more about Austin at <http://www.archives2009.org/>

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ORACLE

ICRM Corner: Reflections of a CRM Mentor

By Kevin Waldrup, CRM

Over the past two years, I have served on the Austin-ARMA Board of Directors as ICRM ([Institute of Certified Records Managers](#)) Liaison/Education Chair. My time in this role will soon come to an end as the new Board of Directors are elected and installed for the new fiscal year. As I am on my way out of this position, I thought it would be a good idea to take a look back on the experience I have been so lucky to have had.

Soon after earning my CRM (Certified Records Manager) certification, I thought to myself, "How can I help someone along the journey of attaining their CRM designation?" I knew my mentor had helped me and I wanted to give back just as she did. The next Board of Directors elections were just a few months away so I voluntarily

threw my name in the hat for ICRM Liaison/Education Chair. I ran unopposed and was elected to the position six months after attaining my CRM certification.

Most of my focus while serving on the Board has been on coordinating and leading the ARMA-Austin chapter's CRM study group. I believed when I first started and I still believe now that the study group should run how the group decides it should run. What I mean is that, I believe the study group should decide how often it meets, what topics or parts of the exam are discussed during the meetings, and even the location of the meetings. This is the message I have tried to get across to the study group participants. The study group decided to meet once or twice a month at a few of the centrally located Austin public libraries.

There are a total of 6 parts to

the CRM exam that a candidate must pass in order to attain their CRM certification. Each part of the exam covers different aspects of the Records Management profession. The study group reviewed and discussed the first 5 parts of the exam, starting with Part 1 and then moved to the other parts in sequential order. I said there are 6 parts to the exam and the study group discussed parts 1 thru 5. You may be wondering why we did not review part 6 in the bi-monthly study group meetings. Since part 6 can only be taken after a CRM candidate has passed parts 1 thru 5, and since part 6 is in a different format (writing) from the first 5 parts (multiple choice), I thought it best that part 6 candidates meet separately so that we could address the differences between parts 1 thru 5 and part 6, and the challenges it possesses. By the time a candidate gets to part 6,

they know the material, the exam is just testing to see if they can apply the knowledge they have learned in the first 5 parts in a real world situation.

I was often asked by those who were interested in joining the study group, "What is expected of me by attending the study group meetings?" It was and still is my belief that a CRM candidate has to set aside time to study outside of the study group meetings. My view has been that study group participants should use the time spent together to share each other's experiences in the Records Management profession around the topics being discussed. I believe that by doing this, a CRM candidate will be able to learn the concepts easier and faster when they can associate them with their own or someone else's experience. Study group meeting time should also be used to discuss the questions that participants have about the study

July 2009

Schedule of Events

- 8-6-2009 through 8-8-2009— ARMA Southwest Leadership Conference in Dallas. Interested in going? Contact Jannette Goodall
- 8-12-2009— SAA's Records Management Group will be in Austin, and we're meeting them at the Moonshine Café for Happy Hour starting at 5:30
- 8-15-2009— ARMA-Austin's Board Planning meeting. Location and time to be announced. Please contact Jannette Goodall with ideas for next year.

All events are held at Goodwill Industries (1015 Norwood Park Boulevard 78753), unless otherwise stated.

Sun	Mon	Tue	Wed	Thu	Fri	Sat
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

August 2009

Sun	Mon	Tue	Wed	Thu	Fri	Sat
						1
2	3	4	5	6	7	8
			Southwest Leadership Conference			
9	10	11	12 Happy Hour	13	14	15 Board Planning Meeting
16	17	18	19	20	21	22
23	24	25	26	27	28	29
30	31					



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International Retention Scheduling (continued)

Records managers have expertise in identifying and classifying records and can assist with developing retention and disposition schedules. Knowledge of RM provides businesses with processes and program implementation. Legal supplies program developers with legal knowledge, research, legal context and risk-based assessment. Put another way, RM expertise brings the capability to design and implement a compliant program, but a program is incomplete without the input of a trained legal entity. Generally, a company should assess risks in relation to litigation intensity, regulatory compliance requirements and penalties. Global companies need RM experience and an understanding of industry practices coupled with legal risk mitigation. It is difficult to achieve thoughtful and substantive results without bringing the two together.

Path to Success

There are some program elements that apply to any path to success:

- Define the end goals
- Win support and commitment from management and all members responsible for implementation
- Evaluate resources and company operations

To these, add the elements necessary for a successful risk-based approach to retention scheduling:

- Identify legal and business risks and prioritize each one. Records retention policies prioritize risks based on market/business size and business

functions, as well as prior regulatory and litigation experience. Prioritizing this information helps companies determine their overall risk and the type of records management program needed.

- Consider local law requirements and prioritize countries. In order to be successful in completing this step, local laws and regulations must be contextualized and put into perspective. The goal should be on determining the impact of various local law requirements and managing risk, rather than on the identification of as many laws as possible.
- Identify the high- and medium-risk countries and prioritize each one. It is useful to place this assessment in the context of the size and scope of the business units and the market in each country. Companies should

assess the risks related to their core business functions as well as the risks related to standard corporate functions.

- Develop the right classification scheme. Identify and describe categories of business records.
 - The Global approach is appropriate where business units have uniform products, services, and processes across the globe. The records classification scheme identifies the business functions and record classes for all business units.
 - Global with country-specific records types is a variation, which is appropriate when the business, as a whole, has a master set of products, services, and processes, but where individual countries deploy subsets of these and/or

See "International Retention Scheduling" on Page 9...



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ICRM Corner (continued)

materials. I have found that in most cases, there is simply too much information for a CRM candidate to learn for the short period of time spent in study group meetings to be the only time they review and study the information. It is my strong conviction that personal study time is a must for the serious CRM candidate.

Other popular questions that I was asked are, "Out of parts 1 thru 5, which part of the exam should I take first?" and "How many parts of the exam should I take in one testing cycle?" When answering the former question, my suggestion was to take the parts of the exam in which they have the most experience and are stronger in first. For example, if a candidate had a lot of experience in and knew a lot about records retention, my suggestion was to take Part 4 (Records Appraisal, Retention, Protection and Disposition) first. Or if a candidate had a lot of experience in infor-

mation technology, then my suggestion was Part 5 (Facilities, Equipment, Supplies and Technology). My view was that a candidate could get the parts of the exam that might be personally easier for them out of the way first, and then concentrate on the areas that may be a little more challenging. When answering the latter question, my suggestion to the candidate was to take the number of parts that can be properly studied for. In other words, my thoughts were to not take all 5 parts in one testing cycle if the candidate only had enough time to study for 2 parts. Instead, my submission to the candidate was to study and concentrate on the 2 parts that they can devote the needed attention too.

I have spent my allotted time in the role of ICRM Liaison/Education Chair. Now it's time for me to move on to other things. I won't say bigger and better things because I can truly say I have thoroughly enjoyed

serving in the role. I just hope I have been successful in my quest to give back by helping someone along the road to earning their CRM. Good luck to all of you who are currently in the process of pursuing your CRM certification. I wish you all the best and know that I am still rooting for you. And I encourage those of you who are considering starting the journey to attain your CRM to take on the challenge, study hard, and I'm confident that you can earn your designation as a Certified Records Manager also.

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Special Projects Update

Sponsoring the Declaration of Independence:

We are still waiting for information from Hugh Smith about getting this project up and running. Stay tuned for details.

Child, Inc. www.childinc.org:

The inventory phase is still well underway. An electronic document management solution has been found, so this phase of the project is completed.

The next phase rests on the acquisition of scanning equipment. When this happens, we will begin looking for volunteers to help scan the backlog of records.

If you are interested in volunteering for either project, please contact Jannette Goodall at: 974-9045 or jannette.goodall@ci.austin.tx.us



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International Retention Scheduling (continued)

each country implements these in its own manner. Determine the record classes that are relevant to the business functions performed in the targeted countries.

○ Country-specific approach is relevant where there are diverse businesses and little uniformity in operations throughout the globe.

- Select the optimal approach to legal research. That is, a company gathers the necessary legal information in the different countries in which it conducts business to make informed decisions for records management. There are alternative approaches, including:

○ Traditional Legal – This approach typically includes a legal memo with exhaustive multi-jurisdictional citations that must be interpreted and applied to relevant record classes.

○ Exception-Based – This approach focuses on identifying the longest retention requirements in the countries where it conducts business as exceptions to an otherwise global minimum (or baseline) retention period. This approach advocates performing a legal review of the specific record classes relevant to the targeted countries and either confirm the "baseline" retention requirement or identify where longer retention is required.

○ Risk-Based Advice – This approach focuses on assessing potential risk to the company and retention requirements in the context of data privacy, media format restrictions, and cross-border data transport. The market trend is moving in this direction in more cases because it directs resources to prioritized areas and differentiates between higher and lower risk to the business.

○ Prepare the Retention Schedule for successful implementation. After receiving the legal research for each country, review and analyze differences and reconcile with business needs. Companies must present their records retention

schedule in a manner that optimizes user understanding and adoption. Optimizing the records retention implementation requires assessing alternative methods of presenting both record classes and retention policies, and selecting the approaches that best match the company's organizational structure and operations.

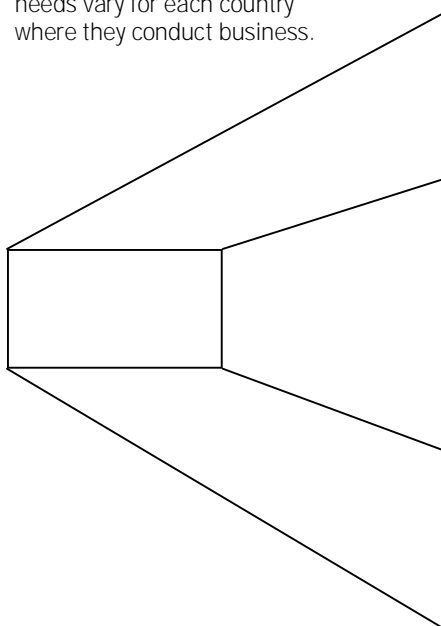
○ The Global approach is appropriate for companies with globally integrated operations. In this model, all business units will follow the same retention, usually the longest, requirements regardless of jurisdiction.

○ The Baseline with Country-Specific Exceptions approach is a

International Retention Scheduling (continued)

risk-based approach that addresses the primacy of litigation intensity and regulatory compliance requirements in the headquarters' country, often the US, and allows for localization as required. All countries follow, at a minimum, retention requirements using the baseline, with exceptions noted.

The Country-Specific alternative fits a company whose retention needs vary for each country where they conduct business.



Goal	Records Classification	Retention Policy
Global	A universal set of record classifications	A uniform set of retention conclusions, typically based on the longest requirements of all countries where a company conducts business
Global baseline with country specific exceptions and/or views	A universal set of record classification illustrated by country specific record types	A "baseline" set of retention policies stemming from the requirements of the corporate headquarters or other defined jurisdiction, with exceptions identified per country as required
Country specific	Record classifications tailored to each country	Retention policies tailored to each country

After a company takes the time to assess the steps outlined above, it is then ready to begin working towards a successful implementation and operation of a global records management program. Aim for a global standard for records management, but acknowledge and manage local risks. Contextualize legal requirements to implement a records management program compliant with legal regulations. The truest indicator of a successfully implemented global program is when personnel across the enterprise, regardless of business function or location, are able to easily understand and comply with the rules defined under the program.

ARMA Austin Vendor Directory



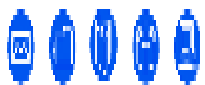
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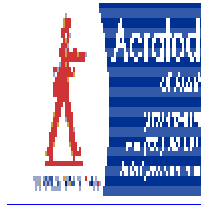
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Puzzle Answer:

If you file it, you'll know where it is
but never need it. If you don't file it,
you'll need it but never know where it



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For the Record is published five times a year by the Austin Chapter of ARMA International for its members and the records and information management community at large.

We welcome your comments, knowledge, and especially your contributions! If you'd like to submit an article, book review, or Chapter meeting re-cap, please contact Debra Korty at: debra.korty@ci.austin.tx.us

ARMA International is a not-for-profit professional association and the authority on managing records and information—paper and electronic. There are over 10,000 members worldwide.

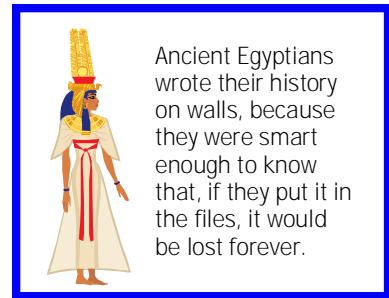
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Fun and Games



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