

# INFORMATION MANAGEMENT

AN ARMA INTERNATIONAL PUBLICATION

MARCH/APRIL 2013

## SELECTING FROM THE ALPHABET SOUP OF INFORMATION CERTIFICATIONS

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**Close the Door on  
What You Think  
You Know  
About  
Leadership**

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**Four Steps for  
Conquering  
Information  
Chaos**

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**Special  
in this issue:**

**hottopic**

**THE 'BIG DATA' EXPLOSION:**

How to Extract Value, Minimize Risks



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Information Governance



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# INFORMATION MANAGEMENT

AN ARMA INTERNATIONAL PUBLICATION

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Service Provider Contract v. 8762

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Page 2

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## Getting an Edge with Certification

**I**ncreasingly, organizations are seeing the value of information governance. This is a positive trend for organizations, of course, and equally so for information professionals. A true information governance program can be implemented and run only with the support of those who have strong foundations, not only in records and information management, but also in the critical areas of information technology, information security, legal compliance, e-discovery, and privacy.

While your academic degrees and workplace experience can indicate competence in these areas, professional certifications indicate a mastery that can provide an edge when you are competing for more strategic information governance positions. Determining which certifications are the best for you, though, can be difficult.

For this issue, Jeff Whited interviewed several information professionals to find out which certifications are the most relevant for them and why. His article, “Selecting from the Alphabet Soup of Information Certifications,” will help you make a more informed decision on which certifications you might pursue.

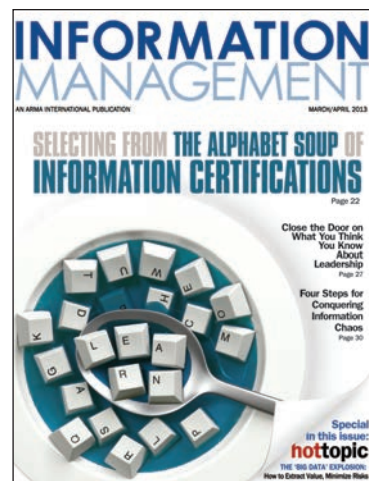
If you are in, or aspire to, a leadership position, don't miss “Close the Door on What You Think You Know About Leadership.” Cy Wakeman, a noted business management consultant, keynote speaker, and author, dispels several pieces of conventional wisdom,

including that you must have an open-door policy and that you just have to suffer with problem employees. Taking the unconventional advice based on her book *Reality-Based Leadership* will enable you to do what the book's subtitle suggests: *Ditch the Drama, Restore Sanity to the Workplace & Turn Excuses Into Results.*

Perhaps you are considering information governance consulting as a career option. In our Generally Accepted Recordkeeping Principles® (the Principles) Series article, “A Consultant's View: The Principles as Diagnostic Tools,” author Julie Gable, CRM, CDIA, FAI, tells how UK-based consultant Alison North has used the Principles on the job and as an expert witness for the California Public Utilities Commission in the still-pending 2010 San Bruno pipeline rupture case.

In our other article series, RIM Fundamentals, the University of Washington's Human Resources Records Management Group shares its model for instilling best practices among its 160-employee HR Department. With the benefit of strong executive support, the cross-departmental team has developed and rolled out training, tools, and special events that are leading to records management practices becoming a habit, part of the university's “muscle memory.”

In addition to emulating what is working for the University of Washington, you can borrow the “Four Steps for Conquering Infor-



mation Chaos” from Deborah H. Juhnke, CRM, to help your organization take better control of its information assets. This process begins and ends with accountability, she writes. “The buck stops at everyone's desk. ...the ultimate success of an information governance initiative will rest with individual accountability.”

This issue concludes with a review of *Zubulake's e-Discovery: The Untold Story of My Quest for Justice*. Our reviewer writes that the book is suspenseful even though most readers know the outcome of the landmark case. It is also an inspirational story and a call to action for organizations to whip their information governance into shape. We trust that this issue of *Information Management* will be instrumental in helping you do just that! **END**

**Vicki Wiler**  
Editor in Chief



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## EHR

### Report: Health IT Isn't Delivering

**M**ore than \$81 billion. That's how much Rand Corp. researchers in 2005 estimated health information technology implementation would eventually save the United States by improving the delivery and efficiency of health care. In 2012, those savings had yet to be realized.

In a report published in the January 2013 edition of *Health Affairs*, Rand researchers blamed the slow progress on the "sluggish" adoption of health IT systems, the inoperability of health IT systems, and healthcare providers' failure to reengineer their care processes to take full advantage of health IT.

"The failure of health informa-

tion technology to quickly deliver on its promise is not caused by its lack of potential, but rather because of the shortcomings in the design of the IT systems that are currently in place," said Arthur Kellermann, M.D., the study's senior author and the Paul O'Neill Alcoa Chair in Policy Analysis at RAND, a nonprofit research organization.

Jennifer Covich, CEO of the nonprofit member association eHealth Initiative, told *E-Commerce Times* that the study may be a bit harsh on the progress achieved to date. However, she said, "the study points out some valid factors that need to be addressed. For example, interoperability is a big problem and the federal government should play a

lead role in dealing with that.

"Vendors may not be as far along in development as we would like, but to some degree they are in the same place as health providers in trying to figure out where they should be."

Stated Judy Hanover, research director at IDC Health Insights, "The supplier market in this space is immature, and there have been a lot of new functionality requirements for 'meaningful use' that have driven development of new functionality with minimal attention to usability. The platforms that today's EHRs [electronic health records] rely on make changes to support usability time consuming and expensive for vendors to make and implement in highly customized systems."

The Rand study's authors concluded that "a compelling vision is needed to guide further investments" in health IT. They suggested:

- Health information stored in one IT system must be retrievable by others, including doctors and hospitals that are a part of other health systems.
- Patients should have ready access to their electronic health information and be able to share it with providers of their choice.
- Health information technology systems must be engineered to aid the work of clinicians, not hinder it. Systems should be intuitive, so they can be used by healthcare providers without extensive training, and they should be easy to use across different healthcare settings.

## CLOUD

### Healthcare Cloud Spending Expected to Reach \$6.8 Billion

**T**he healthcare market's technology spending has grown aggressively over the past few years, a good percentage of it in cloud computing services. Researchers predict that the global healthcare industry will spend \$6.8 billion by 2018, compared to an estimated \$1.8 billion in 2011.

Research published in late January by Transparent Market Research revealed that North America is the fastest growing cloud computing market in the health industry today. This is largely attributed to the vast number of biopharmaceutical companies that are conducting research and development and relying heavily on IT to do it competitively.

Healthcare organizations are also major contributors as they implement electronic health records as affordably as possible. They are looking to increase competitiveness by cutting IT costs and are turning to cloud computing for solutions.







## CLOUD

### What to Expect in Cloud Computing in 2013

Cloud use in 2013 will get real,” predicted Forrester Research’s James Staten at the end of 2012. “We can stop speculating, hopefully stop cloud-washing, and get down to the real business of incorporating cloud services and platforms into our formal IT portfolios. As we get real about cloud, we will institute some substantial changes in our cultures and approaches to cloud investments.”

Staten’s comments were based on evidence that IT departments are no longer denying cloud use is happening in their companies and it is part of the IT budget.

“According to the latest *Forrester* surveys, nearly half of all enterprises in North America and Europe will set aside budget for private cloud investments in 2013 and nearly as many software development managers are planning to deploy applications to the cloud,” Staten wrote in his December 3 blog posting.

Here are some of the things Staten said we can expect in 2013:

- The industry will finally stop saying “everything is going cloud” and get real about what fits and what doesn’t.

- Cloud and mobile will become one. “What’s the value of a mobile app that doesn’t call out through the Internet to back-end services? Not much,” concluded Staten.
- Accurate cost-modeling will be much easier, thanks to new tools on the market.
- Developers will finally realize that development is not all that different in the cloud.

## DATA SECURITY

### UK Fines Sony \$337K for 2011 Data Breach

They should have known better, stated the UK Information Commissioner’s Office (ICO) in announcing it was fining Sony Europe £250,000 (\$337,000 U.S.) for a violation of the Data Protection Act in 2011.

The penalty was assessed following a breach of Sony’s PlayStation Platform in April

personal data secure has to be your priority. In this case that just didn’t happen, and when the database was targeted – albeit in a determined criminal attack – the security measures in place were simply not good enough,” said David Smith, deputy commissioner and director of data protection.

“There’s no disguising that this is a business that should have known better. It is a company that trades on its technical expertise, and there’s no doubt in my mind that they had access to both the technical knowledge and the resources to keep this information safe.”

Interestingly, a California district judge threw out the Sony case saying, “There is no such thing as perfect security.”

Since the hack, Sony has rebuilt the PlayStation Network Platform to be more secure. Sony told BBC News that it strongly disagreed with the ICO’s decision and intended to appeal.

Smith acknowledged that the



2011. More than 75 million customers’ personal information – including names, addresses, account passwords, e-mail addresses, and dates of birth – was compromised, as were customers’ payment credit card details.

ICO’s investigation determined that the attack could have been prevented if software had been up-to-date.

“If you are responsible for so many payment card details and log-in details then keeping that

penalty was substantial, but said the ICO would make no apologies for that. “The case is one of the most serious ever reported to us. It directly affected a huge number of consumers, and at the very least put them at risk of identity theft.”

On the upside, Smith cited a PR Week poll conducted shortly after the breach that revealed that 77% of consumers were more cautious about giving their personal data to other websites.



## CLOUD

## EU Considers More Aggressive Cloud Computing Strategy

The European Union (EU) is not doing enough to spur the development of cloud computing and the EU's role in that market. That was the central point made by the European Economic and Social Committee (EESC), the consultative body to the European Commission (EC), in its report to the commission in January.

Last September, the EC released a communication on "unleashing the potential of cloud computing in Europe." While the EESC agrees with the EC's intent, it contends the EC's approach does not go far enough in helping the EU realize that potential. Promoting its uptake isn't enough.

EESC members proposed an alternative strategy in which the EU would "help businesses and public administrations to become 'cloud active' by offering cloud-based services and make Europe 'cloud productive' by providing cloud infrastructure," stated EESC's Eric Pigal, according to *Computer Week*. Only then can the EU realize the cloud's potential.

At the time, the EC said the strategy introduced last fall would improve and increase the use of cloud computing in the EU and that the cloud could generate about €900 billion (about \$1.2 trillion U.S.) and an additional 3.8 million jobs across the EU by 2020.

EESC supported the commission's call for an EU-wide certification scheme for cloud providers that would thereby create a technical standard. The committee also favors the EC's call for draft model conditions for cloud computing contracts in service level agreements and developing cloud-based public sectors.

On the other hand, the EESC took issue with the current strat-

egy and the absence of concrete awareness-raising measures and warned against excluding the most vulnerable. "The commission should prioritize users with the lowest awareness and show small and medium businesses how they can benefit from cloud computing," said Pigal.

He also contended that special incentives are needed to encourage development of cloud services and infrastructure by European providers. "Under current market conditions, expanding the use of the cloud in Europe will inevitably strengthen non-European operators," Pigal warned.

EESC concluded that meeting the objectives of its cloud strategy will require targeted EU financing and national subsidies. The committee also stressed the need to kick-start European projects through competitive bidding.

## U.S. LEG/REG

## Warrantless Access to Cloud-Based Data Debated

Efforts to balance the needs of law enforcement and Americans' privacy are at the center of a U.S. Senate debate over proposed amendments to the 1986 Electronic Communication Privacy Act.

It all started in November when the Senate Judicial Committee considered a proposal that would allow law enforcement to access data in the cloud – including e-mail and Facebook posts – without first obtaining a search warrant. It immediately hit a wall formed by a coalition of technology firms, including Apple, Facebook, Google, and Twitter, which contended that electronic data should be treated the same way as hard-copy data.

Just prior to the close of the 112th session in December, the Senate Judicial Committee passed a revised version that would allow access, but only after law enforcement secured a search warrant for electronic data based on the traditional standard of probable cause before accessing data in cloud.

The current proposal before the Senate in the 113th United States Congress, which convened in January, would also require wireless carriers to store text messages for at least two years to aid law enforcement.





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## PRIVACY

### Lebanese Up in Arms over Invasion of Privacy

Controversy arose at the end of 2012 in Lebanon when it was revealed the country's Internal Security Forces (ISF) demanded the content of all SMS text messages sent between September 13 and November 10 from providers such as Blackberry Messenger and Facebook. According to the Electronic Frontier Foundation (EFF), the information requested includes usernames and passwords.

The ISF's requests were submitted to the Ministry of Telecommunications. The minister of telecommunication, Nicolas Sehnaoui, immediately took to Twitter, reportedly to rally his supporters to spread the word and to fight to save individuals' Internet privacy.

ISF justified its request, reported EFF, by saying it would help generate leads in an investigation into a car bombing in Beirut that killed ISF's intelligence chief and another senior official. Rather than request the data for only those individuals suspected of being involved in the attack, the ISF apparently asked for all messages from all users — an estimated 3.7 million.

Not all the data requested by ISF is available from the Ministry of Telecommunications, said Sehnaoui; some of it would have to be provided directly by the service providers. The request was forwarded to Lebanon's Council of Ministers. It will be up to them to determine if the country's general security or its people's privacy are highest priority.

As of the writing of this article, no decision had been announced by the Council of Ministers.

## EHR

### HHS Moves Toward Safer Electronic Health Records

The U.S. Department of Health and Human Services (HHS) recently released its strategy for making electronic health records and other health IT safer for patients. The Health IT Patient Safety Action and Surveillance Plan was

released for public comment at the end of last year.

At its foundation is the belief that health IT has the potential to greatly improve patient safety. To realize health IT's full potential, however, all interested parties — including the government and private sectors — must recognize that patient safety is a shared responsibility.

The plan's stated goal is to “inspire confidence and trust in health IT and health information exchange,” by taking steps to use health IT to make care safer and continuously improve the safety of health IT. It prescribes a list of actions that are organized under three strategies:

- **Learn:** Increase the quantity and quality of data and knowledge about health IT safety
- **Improve:** Target resources and corrective actions to improve health IT safety and patient safety
- **Lead:** Promote a culture of safety related to health IT



“Though some in the field say it doesn't go far enough, others said the plan is an important step for an office whose primary role has been cheerleader for a technology that has the potential to dramatically improve health care in the United States but that may come with significant risks” wrote *Boston Globe's* Chelsea Conaboy.

Public comments were due to HHS by February 4.





## PRIVACY

# Australia Passes New Privacy Law

In late December 2012, Australia passed the Privacy Amendment (Enhancing Privacy Protection) Bill 2012; it goes into effect in March 2014.

Most notably, the new law established the Australian Privacy Principles, the National Privacy Principles (applicable to the private sector), and Information Privacy Principles (applicable to the federal public sector) revised credit-reporting provisions; and expanded the powers and function of the Australian Privacy Commissioner, including the authority to seek civil penalties up to \$1.1 million (\$1.15 million U.S.)

Businesses were given 15 months to review their existing policies and procedures to ensure compliance with the new law.

Passage of the law occurred about the same time ABC News Australia reported that cybercriminals had hacked into the server and password system of a small medical clinic in Queensland and encrypted the center's patient medical records. The thieves then demanded \$4,000 (\$4,200 U.S.) to decrypt the data.

## A Troubling Trend

This is just one more instance of a disturbing global trend in data security. Healthcare providers have become popular targets for this kind of cybercrime. The Third Annual Benchmark Study on Patient Privacy & Data Security, released in December 2012 by Ponemon Institute, reported that 94% of the U.S. hospitals surveyed had experienced at least one data breach in the previous two years; 45% had been attacked at least five times during that period.

According to Larry Ponemon, Ph.D., CIPP, and chairman and founder of Ponemon Institute, the vulnerability of patient information "is due in part to the recent explosion of employee-owned mobile devices in the workplace and the

use of cloud computing services. In fact, many organizations admit they are not confident they can make certain these devices are secure and that patient data in the cloud is properly protected. Overall, most organizations surveyed say they have insufficient resources to prevent and detect data breaches."

The study confirmed that organizations are taking steps to detect data breaches, but most lack adequate budget and resources. Nearly half (48%) of the organizations surveyed said they are now conducting security risk assessments, but only 16% are conducting privacy risk assessments. Furthermore, 67% don't have controls to prevent and/or quickly detect medical identity theft.

## PRIVACY

# Georgia Congressman Tackles Health Security

U.S. Rep. Hank Johnson (D-Ga.) released a discussion draft of the Application Privacy, Protection, and Security Act of 2013 in mid-January. According to the congressman's website, *AppRights.us*, "This bill would require that app developers maintain privacy policies, obtain consent from consumers before collecting data, and securely maintain the data that they collect."

The act would also require developers to provide consumers with a method to opt out of continued use of the app and decide the fate of their personal information already captured by the app. The consumer could direct the developer to delete any personal data to the extent practicable or cease collecting data altogether.

Johnson released the draft following on the heels of a meeting of the National Telecommunications and Information Administration (NTIA), which comprises mobile industry members and privacy advocates, to discuss a draft of proposed voluntary standards for disclosing how mobile apps use data.

The APPS Act draft provides a safe harbor provision for any developer who voluntarily adopts and complies with the code of conduct the NTIA is expected to release. Enforcement of the APPS Act would fall to the Federal Trade Commission (FTC). State attorneys general could bring suits against those who violate the regulations the FTC would enact to enforce the law.

As of this writing, it was unknown when the APPS Act would be introduced to Congress.



Johnson

## A TROUBLING TREND

## Predictive Coding to Become an Ethical Obligation

Looking back over the reported electronic discovery opinions and notable e-discovery themes in 2012, it's clear that the big shaker and mover is technology-assisted review (TAR), or predictive coding.

"Across the entire electronic discovery reference model many notable e-discovery trends emerged in 2012, but none promises to change the status quo more than the line of opinions approving the use of technology-assisted review," said Michele Lange, director of e-discovery thought leadership and industry relations at Kroll Ontrack. "As courts in the last year progressively embraced advanced technologies, such as TAR, opinions from the bench showed increased scrutiny over procedural issues."

Indeed, the number of e-discovery procedural disputes doubled last year, while sanction cases dropped 10%, according to Kroll Ontrack's annual report on electronic discovery cases.

Howard Sklar, senior corporate counsel at Recomind Inc., observed in an article on Recomind's *The Core Perspective* that predictive coding has gone through three stages of adoption, each marked by legal developments.

- In the first stage, courts allowed the use of predictive coding in e-discovery.
- In the second, a dispute arose over electronic review of records because predictive coding wasn't used. Both sides eventually agreed on keyword search terms.
- In the third stage, a Delaware chancery judge required predictive coding without a request from the parties.

"In the future," Sklar contended, "we'll enter stage four: the

decision by a state bar's ethics watchdog that failure to use predictive coding is ethically questionable, if not unethical. After all, purposefully using a less-efficient, less accurate, more expensive option is problematic." Stage four, he said, could happen any time given how fast we've gone through the first three stages.

#### Other Legal Trends of 2012

At the end of each year, Kroll Ontrack analyzes the 70 most significant state and federal judicial opinions related to the preservation, collection, review, and production of electronically stored information. In 2012, the decisions broke down into the following major issues:

- 32% of cases addressed sanctions regarding a variety of issues, such as preservation and spoliation, noncompliance with court orders, and production disputes.
- 29% of cases addressed procedural issues, such as search protocols, cooperation, production, and privilege considerations.
- 16% of cases addressed discoverability and admissibility issues.
- 14% of cases discussed cost considerations, such as shifting or taxation of e-discovery costs.
- 9% of cases discussed predictive coding.

Many e-discovery opinions discussing sanctions revolved around preservation and spoliation, yet courts were all over the map regarding an appropriate preservation standard for e-discovery — especially in the era of big data.

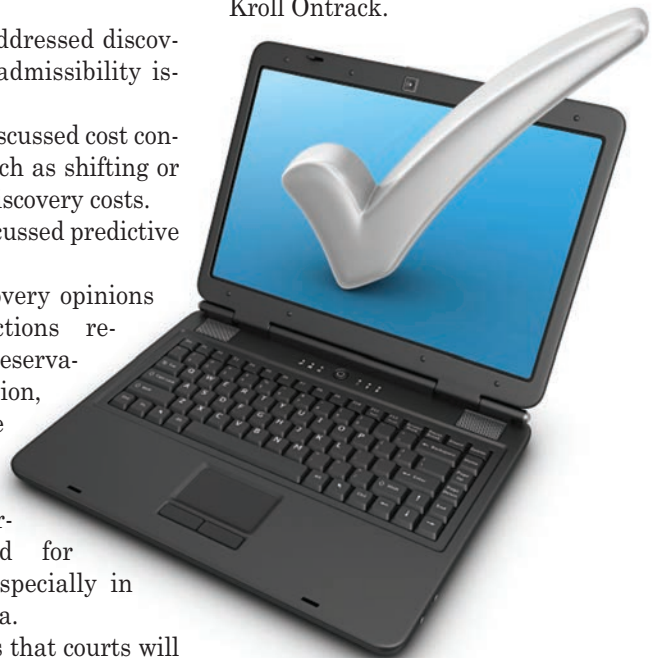
Kroll predicts that courts will

continue to fine-tune the most appropriate instances and best practices for TAR adoption in 2013. It also said it expects continued buzz regarding discoverability of social media and e-discovery cost allocation.

Some courts, such as in *Robinson v. Jones Lang LaSalle Americas, Inc.*, allotted broad discovery of social media data, finding that such data helped prove or disprove a party's allegations.

Conversely, the court in *Mailhoit v. Home Depot U.S.A. Inc.*, found that requests for social media data failed to satisfy the Federal Rules of Civil Procedure 34's "reasonable particularity" requirement and denied the bulk of the requests. Similarly, when it comes to which party pays for e-discovery costs, courts across the country have yet to settle on a standard.

"E-discovery cost allocation remains ripe for consideration by the Advisory Committee on Civil Rules in 2013 when evaluating amendments to the Federal Rules of Civil Procedure," concluded Kroll Ontrack.

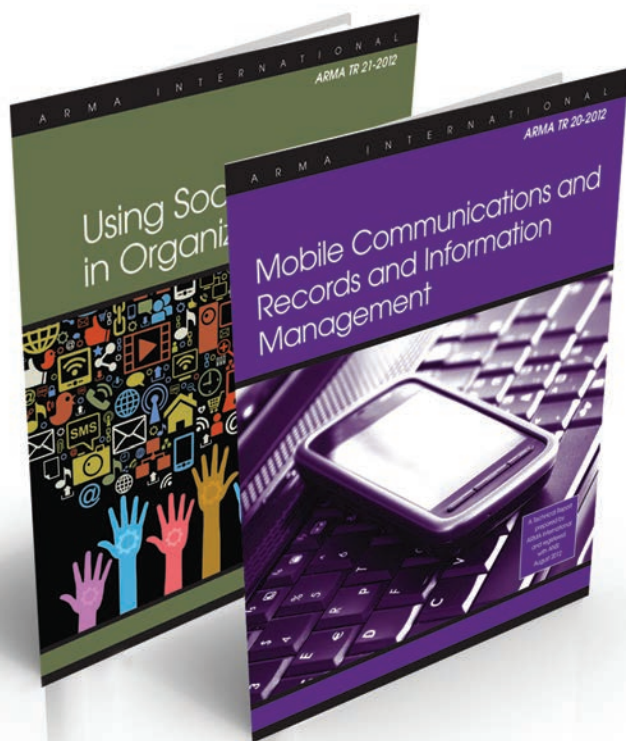




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### ***Using Social Media in Organizations*** **(ARMA TR 21-2012)**

Complementing ANSI/ARMA 18-2011 *Implications of Web-based, Collaborative Technologies in Records Management* (ANSI/ARMA 18-2011), this technical report offers advice on implementing social media within the context of accepted RIM best practices. Topics include governance, infrastructure/ technology, processes and controls, change management, training, and audit/evaluation.

### ***Mobile Communications and Records and Information Management*** **(ARMA TR 20-2012)**

This technical report provides advice for using mobile communications technologies, such as smartphones and tablets, in the organizational setting. It focuses at the implementation level, including such topics as policy design, collaborating with information technology professionals, security, and training.

## CLOUD

## Cloud Computing Creates Strange Bedfellows

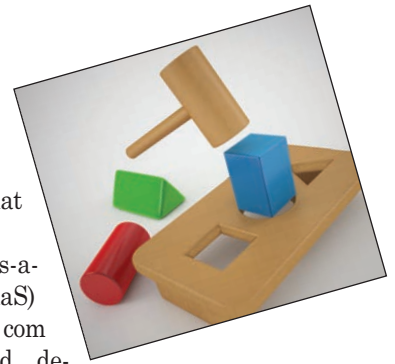
**D**emands from large higher-end enterprises and other customers for complete, end-to-end services are prompting cloud service providers to form new partnerships. For example, as of this writing, AT&T had aligned with IBM and CSC with Sprint to offer a more comprehensive range of services.

"Alliances between vendors, such as AT&T/IBM and Sprint/CSC, will change the game in the coming year," said Ashok Kumar, associate director of custom research at Current Analysis.

Kumar's prediction was based on the results of Current Analysis's recent Enterprise Cloud Adoption study.

In general, the research indicated that "enterprises are now moving beyond cloud experimentation to broader-based implementations," commented Bruce Page, vice president of custom research at Current Analysis. He said 64% of the responding enterprises reported they use the cloud, and the remainder expects to make the transition within the next two years.

The study also revealed that although software-as-a-service (SaaS) is the most common cloud deployment, infrastructure-as-a-service (IaaS) doubled in 2012. Further, security remains the most pressing concern both pre- and post-deployment. But the final decision most often (67%) resides with an enterprise's senior management, not the IT organization.



## GOVERNMENT RECORDS

## Cloud Computing, Social Media New Competencies for Fed CIOs

**T**he recently published 2012 *Clinger-Cohen Core Competencies and Learning Objectives* includes nine new competencies under the 12 core competency areas federal chief information officers need to effectively manage federal technology resources.

Published in December 2012 by the Chief Information Officers

Council (CIO Council), these new competencies include:

- IT Governance
- Cybersecurity/Information Assurance Strategies and Plans
- Social Media
- Cloud Computing
- Information Accessibility

According to the report, the competencies and learning objectives are the basis for developing and implementing IT policies across the

U.S. federal government. Educational institutions also use them to develop curriculum offered through programs under the CIO University Consortium umbrella. They can also be used as guidelines by individuals and organizations.

Twelve federal agencies, academic representatives from the CIO University Consortium, and members of the Industry Advisory Council helped review the changes drafted by the CIO Council's IT Workforce Committee.







## IMAGING

### 3D Technology to Make Old New Again

An Austrian artist was awarded a £60,000 (\$95,000 U.S.) commission by the Contemporary Art Society to turn classical and archaeological objects into digital and hologram forms using 3D scanners.

According to *The Independent*, artist Oliver Laric will scan all the works in The Collection and Usher Gallery — from classical sculptures to archaeological finds. His goal is to “[eliminate] historical and material hierarchies and to reduce all works to objects and forms.”

The scans will be made available to the public to view, download, and use for free from the museum’s website and other platforms, free from copyright restriction and available for social media and academic research alike. In addition, the artist will use the scans to create a sculptural collage for the museum, for which the digital data will be combined, 3D printed, and cast in acrylic plaster.

## PRIVACY

### Victoria Establishes Privacy and Data Security Office

Victoria (Australia) Attorney-General Robert Clark recently announced its plans to create an office of the Privacy and Data Protection Commissioner. The office intends to bring “together the skills and resources of the Privacy Commissioner and the Commissioner for Law Enforcement Data Security.”

David Watts, the law enforcement commissioner, was tapped to lead the transition from two existing bodies into the one new entity. The new privacy and data protec-



tion commission is expected to spearhead the implementation of a new Victorian Protective Security Policy Framework for the government departments and agencies.

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## EHR

## EHR Vendors to Feds: Slow Down!

**E**lectronic health record (EHR) vendors have asked the U.S. government to slow down and focus on “encouraging and assisting providers to take advantage of the substantial capabilities established in Stage 1 and especially Stage 2, rather than adding new meaningful use requirements and product certification criteria.”

The EHR Association, representing 40 EHR vendors, posed the request in its comments regarding the proposed Stage 3 requirements. The group stated its belief “that any meaningful use and functionality changes should focus primarily on interoperability and building on accelerated momentum and more extensive use of Stage 2 capabilities and clinical quality measurement.” The vendors requested that Stage 3 be delayed at least three years so the focus could be

on these areas.

They also encouraged the government to invest in quality measure alignment, infrastructure, and standards, and to focus on building on the foundation begun in Stage 2 without adding a significant number of new quality measures.

The government regulations take a one-size-fits-all approach, which has proved cumbersome for some healthcare providers. Unfortunately, there hasn’t been time to examine what’s working well.

“To keep moving ahead with such an aggressive strategy strikes me as foolish,” Stephanie Reel, vice provost for information technology and chief information officer at Johns Hopkins University, told *Forbes*. “We don’t know what’s working, and what’s not working.”

“Our proposed alternative approach is offered in recognition that the public and private sector shifts to accountable care and value-based payment are now creating a business case for providers to adopt and use EHRs and other health IT, and to identify needed functionality to meet

their varied technology requirements,” stated the EHR Association in its comments.

Interoperability is a perfect example. It has never been a priority for vendors or hospitals. Now it’s at the top of the list because payments are tied to care coordination. Vendors want to make sure standards for transmitting patient data between different platforms are adequate by testing them before they’re set in stone. “We need the time to do it right,” John Glaser, chief executive officer of Health Services at Siemens Healthcare, told *Forbes*.

Innovation could be the biggest casualty. Neither vendors nor providers have time to evaluate and plan improvements. Products become generic and patient care suffers.

As illustration, Reel noted that the time the IT department used to be spend working with physicians and others to create ways to improve patient care is now being spent ensuring they are meeting government rules.

“We’re sacrificing innovation because of requirements to be compliant. The trade off is stark,” she said.



## E-RECORDS

## Namibia Home Affairs Switches to Electronic Records

**A**llafrica.com reported that the Namibia Ministry of Home Affairs and Immigration has “kissed manual record keeping goodbye.” The ministry went live with its electronic document and records management system (EDRMS) just before the end of the year.

According to EDRMS project manager, Sarah Negumbo, from the prime minister’s office, the project intends to ensure a risk-free electronic records and archival system for the public service in line with the National Archives Act of 1992.

“Records are not filed according to the filing system as per archives codes, making it difficult for records to be retrieved. Another aspect that the EDRMS implementation is addressing is the issue of security, because it was also discovered that some of the registries do not have security measurements in place in terms of preventing unauthorized access,” Negumbo told *AllAfrica*.

The plan is to implement the system across all government offices, ministries, and agencies.



## CLOUD

# Singapore Claims Highest Understanding of Cloud

**F**orrester Research's recently published *VMWare Cloud Index 2012* found that Singapore companies rank highest in the Asia-Pacific (APAC) region for their confidence in their knowledge about cloud computing.

According to the report, 82% of Singapore respondents said they believed they had a strong understanding of cloud computing, which was higher than the APAC region's average response of 75%. This is the first time Singapore came out on top in this category; Australia had held that position the previous two years of the study.

In terms of cloud usage, the top three countries are Australia (58%), Singapore (51%), and India (50%), all significantly higher than the regional average of 42%. It's not surprising, then, to see that Singapore companies expressed the highest concerns in the region about data privacy and data residency.

In his briefing regarding the VMWare study results, Michael Barnes, vice president and research director of Forrester Research, noted that this may help explain why so many companies in Singapore reported an

### Respondents who believe they strongly understand cloud

1. Singapore: **82%**
2. Korea: **80%**
3. India: **79%**
4. Australia: **72%**
5. Hong Kong: **74%**
6. Taiwan: **72%**
7. China: **72%**
8. Thailand: **70%**
9. Indonesia: **70%**
10. Malaysia: **66%**

adequate understanding and awareness of cloud.

The Singapore government's "pro-cloud" stance is likely another contributor. Barnes said the governments in both Singapore and Hong Kong have consistently encouraged investments in local data centers.

"The government has done a remarkable job in luring datacenter investments to come into the country... whereas authorities in other countries or certain states could be discouraging cloud for various reasons, even jingoistic ones," said Barnes.

Commissioned by VMware, the cloud index study is in its third year. The 2012 study surveyed nearly 5,000 senior IT practitioners in 10 economies across Asia-Pacific: Australia, China, Hong Kong, India, Indonesia, Korea, Malaysia, Singapore, Taiwan, and Thailand. (Japan was surveyed separately by another market research firm.)

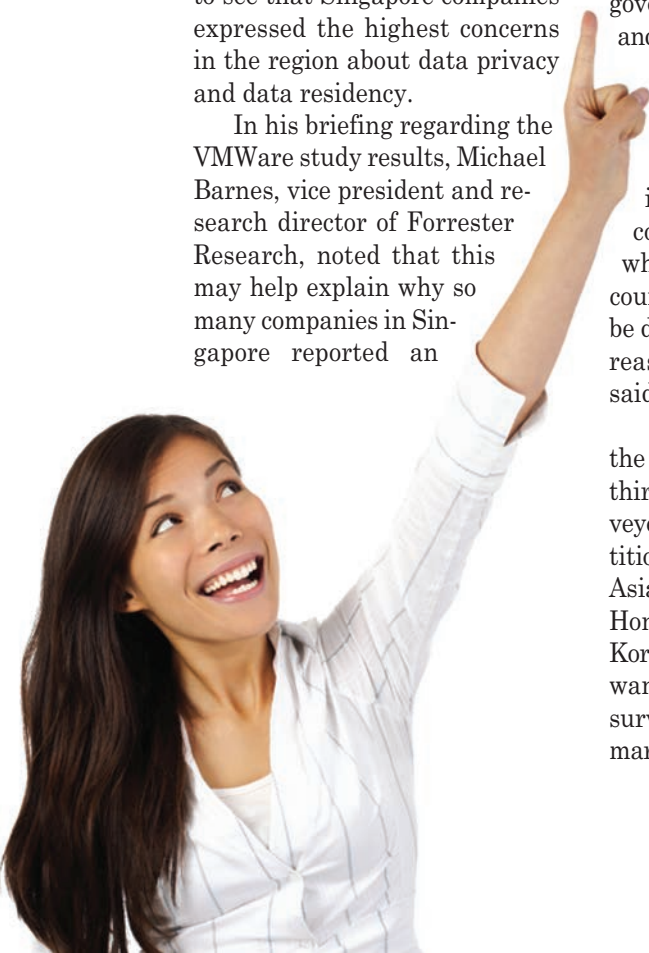
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**L**ike many countries, Ireland is looking to the cloud for new growth opportunities. The government committed €5 million (\$6.7 million U.S.) to fund a cloud computing technology research center.

The Irish Centre for Cloud Computing and Commerce (IC4), housed at Dublin City University, is meant to help speed up the development and adoption of cloud technology in Ireland. That means more jobs within the Irish IT sector.

"Cloud computing is already a significant part of the overall market for information technology and services and is now one

## CLOUD

# Ireland Gets Serious About the Cloud

of the fastest growing segments of the market. That why as part of the Government's Action Plan for Jobs we have specifically targeted this sector for jobs and growth in the coming years," explained Minister for Jobs, Enterprise and Innovation Richard Bruton.

According to its website, IC4 differs from other university-based research centers in that it is both multi-institutional and inter-disciplinary, including researchers from computing, business, and law. Its industry panel includes such recognizable players as IBM, Intel, Microsoft, and Fujitsu.

IC4's research agenda focuses on four broad, core research themes that the industry participants consider to be of equal importance; no distinction is made between server-side and client-side research. Those themes include:

- Architecture, including scalability and performance, reliability

and resilience, interoperability, portability, and migration to the cloud

- Service lifecycle, including service delivery, service levels for a quality cloud service, and cloud service level assessment
- Business research, including business and organizational models, regulations for cloud services, and cloud as a competitive advantage
- Cloud security, including scalable and single/multi-tenant environments, data transfer in the cloud, mobile and security in the cloud, and risk management and disaster recovery

Outreach is key in 2013. IC4 has identified three major initiatives:

- Cloud Computing and Commerce Capacity Building Programme
- National Cloud Technology Incubator and CloudClinic Programme
- Cloud Technology Standards Observatory

## DATA SECURITY

# Microsoft, Symantec Take a Bite out of Cybercrime

**S**oftware powerhouse Microsoft announced in early February that its Digital Crimes Unit, in conjunction with Symantec, successfully took down the Bamital botnet. According to Microsoft, the botnet hijacked people's search results and took them to potentially dangerous websites that could install malware onto their computers, steal personal information, or fraudulently charge businesses for online advertisement clicks.

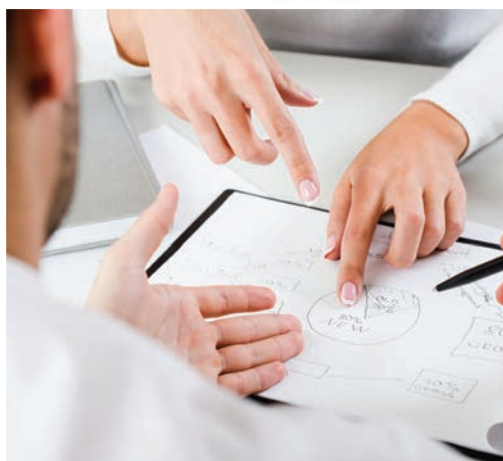
Microsoft filed a lawsuit January 31, supported by a declaration from Symantec, against the botnet's operators in order to sever all communication lines between the botnet and the malware-infected computers under

its control. The court granted the requests, and technicians from Microsoft and Symantec, accompanied by U.S. federal marshals, seized data and evidence from the botnet through raids on data centers in New Jersey and Virginia.

Research conducted by Microsoft and Symantec showed that more than eight million computers have been attacked by Bamital during the last two years. Further, its search hijacking and click fraud schemes affected many of the major browsers, including Microsoft's Bing, Yahoo, and Google. In a proactive move, Boscovich added, owners of infected computers trying to complete a search query are being directed to an official Microsoft and Symantec webpage that explains the problem and offers guidance on

how to remove Bamital and other malware from their computers.





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## BIG DATA

# Big Data in 2013: What to Expect

Forrester Research's Mike Gaultieri recently shared his predictions for big data in 2013. He narrowed in on four key themes, but the underlying message for enterprises, he contended, is "opportunity."

1. **Companies will realize that "big data" means ALL of their data.** Some define big data by how it can be measured in terms of volume, velocity, and variety. The flaw in this definition, contends Gaultieri, is that it is "not an actionable, complete definition for IT and business professionals. He suggests a more pragmatic definition: "Big Data is the frontier of a firm's ability to store, process, and access (SPA) all the data it needs to operate effectively, make decisions, reduce risks, and serve customers." Furthermore, it will continue to reside in all kinds of data architectures, including enterprise data warehouses, application databases, file systems, cloud storage, Hadoop, and others.
2. **The algorithm wars will begin.** Organizations are coming to realize that they "must use predictive and descriptive ana-

lytics to find no obvious information to discover value in the data." Advanced analytics, Gaultieri explains, uses advanced statistical, data mining, and machine-learning algorithms to dig deeper to find patterns that you can't see using traditional business intelligence tools, simple queries, or rules. He predicts that companies will rediscover the power of old algorithms and find competitive new ones.

3. **Real-time architectures will swing to prominence.** "Firms that find predictive models in big data must put them to use," says Gaultieri. This means employing technologies to make that possible, and mobile will continue to be a key driver. As a result, he predicts, "enterprise architects will step out of their ivory towers to once again focus on technology — real-time technology that is highly available, scalable, and performant."
4. **Naysayers will fall silent.** Big data isn't just a buzzword, it's real. According to Gaultieri, "It disrupts many who don't see anything new in it or don't see the tremendous opportunity firms have to harness it for competitive advantage." **END**

**BIG DATA**







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# SELECTING FROM THE ALPHABET SOUP OF INFORMATION CERTIFICATIONS

Earning professional certifications can help an information professional establish credibility, but choosing the most relevant ones from among the many available can be a challenge.

**Jeff Whited**



**A**s the value of information governance (IG) is becoming more apparent worldwide, information professionals have an opportunity to play a more strategic role within their organizations. But, those who will be “invited to the table” are only those who have visibility and credibility in the areas that are critical to IG, such as information technology (IT), security, and privacy.

An obvious way to gain such visibility and credibility is by earning professional certifications. There are many to consider, and determining which ones are right for you can be difficult. Several successful information professionals recently spoke about the certifications they have attained – or plan to attain – and why others might consider doing the same.

### **IGP Spans Information Professions**

Coming in late spring, the Information Governance Professional (IGP) certification is designed for certified records managers (CRMs) and other professionals who drive the governance of all information, not just the official records. Those who attain the credential are expected to be able to implement the Generally Accepted Recordkeeping Principles® in an organization and to work closely with the C-level officers.

The development process has been rigorous, in accordance with American National Standards Institute (ANSI) accreditation standards. It began last spring, when 11 information management professionals performed a job analysis and developed an exam blueprint, which was later validated by nearly 350 respondents from 111 countries.

Two versions of the exam have been developed, each with 125 questions. The exams will be pilot-tested before the certification is made available to everyone.

While information managers have several certifications they can pursue, Brian Tretick, CIPP, believes the IGP certification is necessary and unique because of its strategic nature. Tretick, managing director of Athena Consulting, sees the fields of records management, privacy, and information security becoming progressively intertwined.

“As this combined discipline matures – as it obviously will – the certification will become part of the fabric of that profession,” he says. “Anyone who seeks to be in such an important and strategic role would benefit.”

Raymond Cunningham, CRM, CA, CDIA+, CIPP/US, CIPP/IT, director of records services at the University of Illinois Foundation, suggests the IGP certification is needed, in part, because the chief information officer (CIO) often takes on too large of a role in managing information.

“The CIO role emerged as information technology became pre-eminent in the workplace, but the role of the information to be governed took a back seat as CIOs came

from the technology side,” he says. “Organizations soon discovered that the skill sets for managing IT are entirely different from those required for managing information.”

Cunningham, who helped develop the exam with Tretick and others, believes professionals with broad experience in the legal, records management, risk management, or privacy fields are ideally suited for the new certification.

The IGP certification exam will cover these competency domains:

- Managing information risk and compliance
- Developing the IG strategic plan
- Developing the IG framework
- Establishing the IG program
- Establishing IG business integration and oversight
- Aligning technology with the IG framework

ARMA International will seek formal ANSI accreditation after a specified number of professionals have attained the certification.

### **IGP Complements the CRM**

The IGP certification is designed to complement the CRM, which is conferred by the Institute of Certified Records Managers. In fact, many IGP certification candidates are expected to hold the CRM.

Cunningham agrees with ARMA International’s position that the IGP certification is not designed to compete with the CRM. Instead, he says, it “complements many of the areas by taking a more C-level approach to information in the enterprise.”

While the IGP certification is expected to become the highest industry credential for IG, the CRM has long been considered the standard bearer for records and information management (RIM).

According to Julie Gable, CRM, CDIA, FAI, founder and president of Gable Consulting LLC and a Fellow of ARMA International, the CRM establishes instant credibility with fellow records managers and is useful when bidding for consulting jobs.

Cunningham echoes that viewpoint: “Contracts and job offerings now routinely require the CRM, and I believe that today this is the single most important certification to have in records management.”

### **CIP Designed to Help Bridge IT and Business**

The Certified Information Professional (CIP) is an option for those in RIM who seek a credential that focuses more on information management.

According to the website for AIIM, which offers the certification, earning the CIP will “demonstrate your ability to bridge IT and business, keep your IM skills current and competitive, lead your organization into the world of social and mobile content, and more.”



## For More Information on Certifications

See the following websites to learn more about the certifications that are discussed in the article.

Certification	Location
IGP: Certified Information Governance Professional	<a href="http://www.arma.org/igp">www.arma.org/igp</a>
CRM: Certified Records Manager	<a href="http://www.icrm.org">www.icrm.org</a>
CIP: Certified Information Professional	<a href="http://www.aiim.org">www.aiim.org</a>
CIPP: Certified Information Privacy Professional	<a href="http://www.privacyassociation.org/certification/cipp_it/">www.privacyassociation.org/certification/cipp_it/</a>
PMP: Project Management Professional	<a href="http://www.pmi.org">www.pmi.org</a>
CDIA+: Certified Document Imaging Architect	<a href="http://certification.comptia.org/getCertified/certifications/cdia.aspx">http://certification.comptia.org/getCertified/certifications/cdia.aspx</a>

The exam covers the following domains: access/use, capture/manage, collaborate/deliver, secure/preserve, architecture/systems, and plan/implement.

On the records management listserv in December 2011, Jesse Wilkins, CRM, CDIA+, CIP, director of research and development for AIIM, described the CIP as “a broad certification that attests to a candidate’s understanding of a broad range of topics and that is complementary to, rather than competitive with, narrow, deep certifications.”

Wilkins also said the CIP would be especially important for records managers “who are often heard discussing the challenges associated with getting a seat at the board, getting senior management support, etc.”

Patrick Cunningham, CRM, CIP, FAI, senior director of IG for Motorola Solutions Inc., believes the CRM appeals to the records management community and is more relevant for those consultants, whereas the CIP should appeal to IT-centric candidates and those with more of an interest in electronic records systems and IG.

### CIPP Spiking in Popularity and Importance

The Certified Information Privacy Professional (CIPP) is viewed by many as the standard in privacy credentialing. Conferred by the International Association of Privacy Professionals, the designation is earned by first passing the foundation exam – which covers common principles and practices, information security, and online privacy – and then by passing regional or sectorial certifications, such as the CIPP/US, which covers the U.S. corporate privacy landscape, or the CIPP/E, which focuses on Europe.

CIPP-holder Tretick considers it an entry-level designation and an excellent measure of knowledge.

“The certification has become an integral requirement, along with experience and education,” he says. “This has

happened across industries – including in the federal government – in the United States and is growing significantly in Europe. As a consultant, one couldn’t win a privacy engagement without the certification.”

ARMA International Board of Directors member Ilona Koti, CRM, PMP, CDIA+, expects to add the CIPP/US and CIPP/E to her list of credentials. Koti, who directs due diligence for the United Nations World Food Program in Rome, says chief privacy officers are in high demand, and few records professionals with strong information governance skills have entered the privacy arena.

She believes senior managers in Europe will take violations more seriously as the continent revises its privacy guidelines. For example, proposed amendments to the EU’s Data Protection Act would add fines of up to 2% of an organization’s global revenue for mishandling personal data.

Raymond Cunningham, the holder of three additional professional certifications, sees the CIPP designations more as “legal certifications” and observes that many who take the exams are attorneys. He has attained the CIPP/US and the CIPP/IT designations and sees value in them.

“Privacy certification has also moved my career forward as more within our university begin to work with issues of privacy and security,” he says. “I have been asked more for my opinions on matters of privacy than ever before.”

### CDIA Designed for Document Imaging Professionals

The Certified Document Imaging Architect (CDIA+) credential from CompTIA is often recommended for those who work in document imaging and management. The exam measures skills and knowledge that should represent a document imaging professional with 12 to 18 months of experience, according to the CompTIA website.

Gable, who holds the CDIA, says the credential is “use-

ful in establishing instant credibility with those in the IT field, particularly those faced with scanning and indexing decisions.”

Koti says the knowledge acquired through the CDIA+ certification helps her manage imaging products and software and communicate more effectively with IT on the imaging requirements for electronic document management system integrations.

Raymond Cunningham pursued the CDIA+ because he wanted a technical certification to complement his skills in records management and because document imaging began to play a larger role in his position.

## PMP Can Boost Marketability

Information managers are usually project managers as well, and many in the field have attained the Project Management Professional (PMP) designation.

The PMP exam covers these performance domains:

- Initiating the project
- Planning the project
- Executing the project
- Monitoring and controlling the project
- Closing the project

Koti says the designation has taught her how to plan a project, keep templates on hand, negotiate terms, and deploy deliverables in phases.

According to the Project Management Institute, which confers the PMP, the certification improves marketability and leads to higher salaries, based on the findings in its Project Management Salary Survey.

## Comparing Certifications to Certificates

In addition to certifications, information management professionals can choose to pursue certificates that are associated with RIM and other aspects of professional development. Sometimes the terms “certification” and “certificate” are used interchangeably, but they mean different things.

A certification program assesses current knowledge and skills, and it usually has eligibility standards and ongoing requirements. When candidates pass the exam, they are awarded a designation, such as “CRM.”

A certificate program consists of a learning event or a series of events – such as seminars or online courses – designed with specific learning outcomes for a topic or a focused group of topics within a discipline. A certificate is similar to a diploma in that its conferral indicates completion or finality. Certificates typically do not have maintenance requirements.

ARMA International’s “Essentials of RIM Certificate” is an example of a certificate program. Upon completing the online courses and passing the exams, candidates are conferred the designation of “Certificate Holder – Essentials of RIM” and are accorded an actual certificate.

## What’s the True Value of Certifications?

In his blog, titled “Above the RIM,” Patrick Cunningham has suggested that some professionals over-value certifications and certificates.

He believes records managers are perhaps too eager to pursue such credentials because they’ve often “bootstrapped” their way into their positions without having a degree that has led them there.

While he found the CRM to be helpful when he was starting out, he believes his career has since benefited more from his master’s degree and from experience, enhancing his ability to think critically and find solutions in the workplace.

Patrick Cunningham does not dismiss certifications, however: “A certification is one element of the total picture of a person’s competency. It is indicative that the person has made an extra effort to test his or her knowledge.”

Tretick, too, sees the need for caution in seeking those cherished letters and commas. He plans to pursue the IGP certificate but currently holds only the CIPP because it shows his commitment to a specific topic. He warns that too many certifications in diverse areas can mark you as a “jack of all trades, master of none.”

## What Is a Certified IGP?

ARMA International will soon make available the Information Governance Professional (IGP) certification. ARMA provides the following job description for a certified IGP:

*A certified IGP creates and oversees programs to govern the information assets of the enterprise. The certified IGP partners with the business to facilitate innovation and competitive advantage, while ensuring strategic and operational alignment of business, legal, compliance, and technology goals and objectives. The certified IGP oversees a program that supports organizational profitability, productivity, efficiency, and protection.*

But Tretick does believe some organizations value such versatility, and Koti has found this to be true to her experience: “I am brought in on difficult projects because of my diverse background and certifications because my clients know that I can advise on areas where sometimes two or three other consultants or staff members may be required,” she says.

Koti, who holds two master’s degrees and four professional certifications, also stresses the need to pursue credentials wisely. She says that education and evidence of

hands-on experience on a resume may help you get an interview, but that a great personality and a solid work ethic will help you get – and keep – your next position.

“Doing a certification just to do a certification is silly,” she says. “You should never obtain a certification just for prestige or having extra commas after your name.”

Gable, too, states that certifications are not substitutes for hands-on experience. “If you’re applying for an infor-

mation management job, the CRM designation will likely give you an edge. You may be more likely to get an interview, but you still have to convince others that you know what you’re talking about once you’re in the interview,” she says. **END**

Jeff Whited can be contacted at [jeff.whited@armaintl.org](mailto:jeff.whited@armaintl.org). See his bio on page 48.



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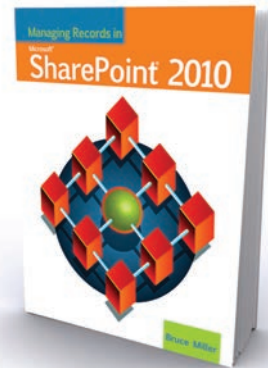
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# Close the Door

## on What You Think You Know About Leadership

Many long-held ideas about leadership have not evolved with the changing world and are no longer effective. From open-door policies to problem employees, this article challenges conventional wisdom and provides new ways to think about how to be a great leader.

**Cy Wakeman**

**L**eaders are still subscribing to many things they have been told over the years – even though the world around them has changed and those adages have stopped producing good results. Now is the time to question the concepts and ideas that are hindering results, particularly the ones below.

### Everyone Has Problem Employees?

Whether you believe something is possible or impossible, you are absolutely correct. We have resistant employees because we hold the mindsets that it is impossible not to. But, in fact, there are organizations that aren't entrenched in drama and saddled by problem employees. If you have problem employees, it is because you:

- Hired them
- Rewarded their behavior
- Failed to coach and provide feedback when you observed their problematic behavior or
- Refused to terminate them when the coaching failed

Period.

Think about what you believe about leadership. Break through your own beliefs as a leader and find your personal level of accountability so you can get the results you want in your work environment. Challenge what you believe to be true. It is the beginning of the journey to having a peaceful life at work.

### Open-Door Policies Are Necessary?

As a leader, you may have learned that you should be approachable and have an open-door policy. Unfortunately, leaders incorrectly deduce that people should be able to approach them with anything they have on their minds.

Let's be very clear; it is a great quality to be approachable. However, being approachable without coaching and teaching employees during these open-door visits is not helpful.

Too many times, open doors are simply portals for drama. Take a moment to think about the people who have come to your office with the infamous question, "Do you have a minute?" Were those visits about the individual standing in your open door at that moment? Probably not. Most of the time, these visits are for employees to:

- Create a triangle where the two of you talk about a third person that is not there
- Safely vent, insist on some sort of anonymity for the situation they vented about, and remove themselves from the responsibility of taking any action
- Feel justified or self-righteous for judging the actions of others (who, again, are not present)

You must help employees understand what things are worth bringing up: information that is valuable to you as a leader or valuable to the workplace in some way. See the sidebar "Coaching Employees to Independence" for a helpful way to handle these one-on-one coaching sessions.

### Leaders Should Focus on Recognition?

The carrot philosophy of using rewards to induce a desired behavior is a very effective one when it is used in conjunction with accountability. Recognition is good, but only when you tell employees when they do a good job *and* when they do something that's not so great.

If you provide feedback only when they do a good job and reward them simply because it's been a while since they were last rewarded, it is likely you will create an environment where they come to expect rewards without doing anything to actually deserve them.

Worse yet, you may create an environment where employees don't believe you when you praise or recognize them. Why? Because, intuitively, people realize there are areas where they are falling short,

and they expect their leader to be the person that helps them overcome those obstacles – to develop them. So, counterbalance your recognition events with amazing coaching and timely performance management.

### The Next Generation Is a Challenge to Manage?

We aren't sure where this thought originated, but there are hundreds of organizations and training programs designed to help leaders learn to work with the next generation of employees. However, the issue is not the next generation; our pain comes because we haven't changed the way we manage so we can be effective with the next generation.

When a new generation enters the workforce, conventional leadership wisdom has us working to make them comfortable, catering to them, and working to perfect their circumstances. But, these practices are contrary to the practices that are really helpful.

It is likely true that the newest generation entering the workforce has been over-rewarded and under-coached, but that is no different than any generation before them. Leaders have stepped down instead of stepping up and then made up a story about "this new generation" to validate their inability to lead effectively.

Most of us didn't commit to our roles until an inspirational leader role modeled and insisted on greatness. Stop judging the next generation and become a great leader who coaches regularly so these young people can find a way to make a difference.

You will have to work hard at this because the next generation has a low tolerance for inefficiency. If you are trying to justify old methods for doing things that don't work anymore, they will challenge that. Use



their feedback to make improvements and stop judging them for being just like you were when you started working.

### **Great Leaders Perfect Employees' Circumstances?**

Conventional engagement surveys ask questions that suggest leaders need to ensure that employees have a best friend at work, trust in their leadership, and have very clear lines of communication.

Again, in theory, these are good things to strive toward. But once the action plan that was developed to address problems that surface from an engagement survey is over, ask yourself if your results are better. If the answer is “no,” that is likely because engagement without accountability is useless.

Positive psychology — which emerged from the scientific study of what happens when things go right in life and shed light on what enables happiness, engagement, achievement, meaning, resilience, strengths, courage, and optimism — asserts that happiness is correlated to taking personal accountability for circumstances, thriving in given circumstances, *not* necessarily having cushy circumstances. Great leaders understand this and make sure that their people can succeed in almost any situation.

If leaders can provide cushy circumstances, that's great. But, that is not the reason people succeed or the reason they are happy. It is important that leaders actually challenge mind-sets so employees can see their circumstances differently.

It is important to ask, “What would make your life easier?” and “What are you willing to do to get that?” or “How can I support that?” We have to share responsibility with employees to create environments where everyone thrives.

You have a choice: either make people more capable or try to fix their circumstances. More capable people

## **Coaching Employees to Independence**

Providing regular, one-on-one coaching is a key to developing capable, independent employees who can take action, resolve issues, and decrease drama in the workplace.

### **Schedule Coaching Sessions**

First things first, close your door and schedule almost all of your coaching sessions. If you are meeting with everyone individually, your purpose is to help with his or her development. So, schedule individual staff meetings regularly with your employees as a standard practice.

Let your employees know that you will have time to be completely focused on them in these standard meetings, whereas you will typically be preoccupied with other things if they just randomly stop by with issues.

### **Remain Neutral and Redirect the Focus**

Secondly, your role as the leader is to remain neutral and help to redirect your employees' focus to things they can control or have an impact on. In these meetings, allow employees to discuss issues that are barriers for them. If their concern involves such things as someone else's work attire, start time, or productivity level, redirect the conversation by asking them, “What have you done to help?”

Typically, the answer is that they've done nothing besides bring the issue to your attention — tattling. Your role is to remind them of the things they should be focused on in order to be an asset to the team. It is also to inform them that tattling is not helpful.

### **Bring Together Parties in Conflict**

If redirecting doesn't help, facilitate dialogue with the third party. In very few situations would it be wise to over-manage and take on this issue for the employee. You will very quickly learn how true or important the issues are once you offer to bring the other person into the dialogue. If there is truly a conflict that needs to be resolved, what better way than getting all the parties together for a conversation?

### **Help Employees Recognize Their Capabilities**

Finally, use these meetings for status updates and to share with each person what they do that is helpful and what they do that hinders. Base each person's individual goals on the outcomes of these conversations. Call the individual up to greatness and develop their capacity to see themselves as capable people who can take helpful action, not dependent employees who must come to you for every situation that arises.

are much more fun to lead. And, helping them become capable will help to keep them from suffering. People have pain because they aren't prepared for what they are being asked to do. And they aren't prepared because we aren't consistently developing them to be more capable.

Capability ensures that in the short run, employees can step up and move through the challenges. Over time, employees end up with lots of great experience that lets them know they can come up with a solution that makes sense. They learn that difficult circumstances are exactly the circumstances in which they must succeed.

tions in engagement surveys to account for accountability differences, though, action planning lists start to look like this:

- Better equipment to avoid errors
- Different hours to accommodate customers
- More ability to have input into decisions

Action plans based on surveying victims lead to working on things that aren't directly related to leading teams to success. When weighting results to favor more accountable employees, action plans focus on projects that drive revenue or reduce cost – a winning focus!

the processes already in place.

A fundamental role of a manager is to make sure people are following the processes. After that, personal accountability is necessary to drive a team to better business results by providing accurate feedback on a process first-hand. If we assume everyone is accountable on a broad level, we inadvertently create a situation where no one is accountable on an individual level. That is part of a recipe for losing.

### There Are No Stupid Questions?

Actually, there are. Please, stop providing *carte blanche* for people to

**It is important that leaders actually challenge mindsets so employees can see their circumstances differently. We have to share responsibility with employees to create environments where everyone thrives.**

### Everyone's Opinion Matters?

While it is good to survey employees, it is also important not to treat all employee opinions equally.

It is likely you have certain employees that are less accountable than others. For ease of explanation, let's call these employees "victims." From our research, we have learned that by default we end up surveying the victims because highly accountable people likely feel as though their concerns are already being addressed. So, they don't bring those issues up in a survey, or they refrain from taking the survey altogether.

Consequently, action planning to address survey concerns is a pain because it tends to favor the victims.

Action plans based on surveying all employees without weighting responses for accountability differences end up addressing things like:

- Onsite daycare
- Pay for parking
- Pizza parties
- Jeans days

When organizations include ques-

### There Is No 'I' in Team?

The original spirit of this statement was to encourage teamwork and prevent people from working in a vacuum. Teamwork is important so one group isn't resource-deprived while another has surplus. But, leaders have started to overuse this concept to a point where it is hindering results because there is hardly any focus on personal accountability.

There is an unintended correlation between companies focused on quality and the lack of personal accountability in the employee base. That is because quality improvement efforts involve process improvement. When processes aren't working, leaders focus on the process and not the people.

In general, this is a great idea. However, problems occur when leaders start telling people that issues aren't associated with people *at all*, but, rather, with the processes. So, when things aren't working, leaders try to make process changes, only to find out there is inconsistent use of

ask whatever they want. One ill-placed, stupid question can halt forward progress for days, weeks, or even months while people try to find the answer to what may be an unanswerable question. Some questions are actually posed as a way of resisting change. By asking every possible question, even irrelevant ones, progress can be halted.

Leaders sometimes try to justify and give answers to questions like, "Why do things keep changing?" Really? Is there an answer to that? As leaders, we have to help people ask better questions. Do not allocate resources to answering questions that don't lead to better accountability.

Instead help reframe questions and challenge employees to ask themselves things like:

- What can I do?
- How can I help?
- How can I improve my skills so I can contribute more?

Ask employees for three things they could do to get the information they want, build their skills to be

more effective, or be more helpful. Then, use your resources to help them get busy on their list.

### Change Is Hard?

Change related to such events as divorce, death, or the birth of a child is hard, and we need to give people time to adjust to those types of changes in their lives. Many organizations have employee relations departments and personal assistance programs to help people with those types of issues.

But, organizational change is not as hard as we make it out to be. Actually, we have been soft on building resilience in our people. Over time, we have allowed people to be resistant to change instead of building their com-

petence to be better able to handle change. On top of that, we excuse people's inability to adapt to change, perhaps accepting that our employees' personality types are the reason they cannot become adept at handling change.

Ask people to sign up to get behind changes and actually capitalize on change. If they are unable (not to be confused with unwilling), create a development plan to help them become more adept.

If they are unwilling to step up, that is a different situation. In that case, ask them what their plan is to transition outside the organization. There is no third option. You cannot allow people to stay onboard when

they refuse to engage. If you do, you have made a choice to have more drama on your team.

### Open the Door to a Great Work Climate

Step into your role as a leader and think critically about the things you do that could possibly add to less-than-ideal conditions in the work environment where you lead. The work climate is a reflection of your leadership. Make it a drama-free, peaceful, and successful place to work. **END**

*Cy Wakeman is the owner of Cy Wakeman Inc. and founder of Bulletproof Talent. She can be contacted at [info@cywakeman.com](mailto:info@cywakeman.com) or through [www.realitybasedleadership.com](http://www.realitybasedleadership.com).*

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# HAVE A BURNING RIM QUESTION? ASK THE EXPERT!

## Managing Policies in Sharepoint®

**Q: How can I make my policies easier to find in SharePoint®?**

**A:** Once a policy is stored in a SharePoint® document library, a few key features can be used to easily identify the item you want:

**Use document metadata.** Metadata allows a publisher to tag/classify a policy with as many different meaningful descriptions as necessary. A first aid policy, for example, could be tagged with both "health" and "policy" descriptions. Once the tags are defined, it's easy to use metadata navigation built into SharePoint® to navigate to the correct groups of documents.

**Search.** One major feature of SharePoint® that greatly improves a person's ability to find a policy is to use SharePoint® search. The beauty about search is that users don't have to have any knowledge of where the document is stored. They simply need to type some keywords in the search box, and a list of potential results will pop out. The other great benefit is that search results are security trimmed before the user sees them. This means that only results a user has permission to see will be displayed.

**Q: How can I define employee groups within my organization?**

**A:** Employee groups can dissect the organization in many different ways, such as by department, level of seniority, skill set, possession of company equipment, and project groups. Each group can be required to read different company policies, and any employee could be a member of many groups at any one point in time.

In SharePoint® you can organize employees into common groups in one of two ways:

- **SharePoint® Groups:** These are created in a similar way to e-mail groups; you individually identify the people who should be members.
- **SharePoint® Audiences:** These are dynamically created based on a set of rules; you create the rules (e.g., "everyone in the Finance Department"), and then SharePoint® works out who meets the rules and adds those people to the group. Audiences rely on the information (attributes) contained in a users' Active Directory (AD) profile. Should the member's profile change in AD, the audience membership dynamically changes, as well; no further updates or amendments are required. Once created, audiences can be used to target content, making user personalization possible.



**Hugo Esperanca** is the chief technology officer for Collaboris, a SharePoint® software company. He is a highly skilled Microsoft Solutions Architect, specializing in SharePoint® 2007/2010 enterprise solutions, with more than 16 years' experience. Esperanca is a co-author of the *SharePoint 2010 Enterprise Architect's Guidebook*. He is also the lead architect on DocRead and DocSurvey for SharePoint®, which offer an intuitive way to distribute, track, and quiz employees on corporate policies and procedures. He can be contacted at [Hugo.esperanca@collaboris.com](mailto:Hugo.esperanca@collaboris.com).

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# FOUR STEPS FOR CONQUERING INFORMATION CHAOS



**Deborah H. Juhnke, CRM**

**C**irca 1984: FedEx had just introduced a new service called ZapMail. For the low cost of only \$35 per 10 pages, it would fax your document from FedEx depot to depot, then print, package, and dispatch the document to your office via courier. Those were the days of carbon paper, Thermo-Fax, and plain-paper copiers.

They were also the days when the only limitations to uncontrolled creation and retention of information were the technologies themselves. ZapMail was innovative and a boon to individuals who could not afford a fax machine, but it was doomed to fail by the coming juggernaut of technology development.

**Circa 2013:** Imagine today the U.S. Postal Service delivering paper mail at the same rate at which e-mail, tweets, and texts are received. Would the overload fill a basement, a garage, that extra bedroom? Would there be a need to buy a storage shed for the back yard?

Of course not; recipients would instead find a way to dispose of most of it quickly. Yet, somehow in the work environment, the information technology (IT) department is expected to allow users to fill all available electronic rooms not only with e-mail, but also with other obsolete, duplicative, and trivial data.

Organizations have arrived at this place honestly. Policy, training, and management did not keep pace with technology and peoples' ability to create information. Users were turned loose with cool new tools and little to no direction or forethought as to how they should be used or the problems they might create. Indeed, the impact and speed of advancement of computer technology were truly "unknown unknowns," opening the floodgates to random, prolific, and unfettered creation of information.

## Accountability After the Fact

Imposing order and accountability after the fact may seem a little like

closing the barn door after the horses are out. Yet it is imperative that organizations catch and corral the horses and begin to impose order in the stable. The greatest challenge may not be the volume of information or the capabilities of technology, but introducing the concept that the responsibility to fix the situation is each person's job.

Accountability must be at the heart of any organizational initiative to control and improve information governance. Without it, good intentions fall short. Further, accountability must include everyone from staff to management to stakeholders within the organization. Contrary to popular belief, information governance is not the sole responsibility of the IT function.

## Move Left, Young Man

With homage to Horace Greely, organizations must seek their information governance destiny by expanding their understanding of and developing the left-most (first) element of the well-known Electronic Discovery Reference Model: information management (See Figure 1 on page 36). They do this by deconstructing and then reconstructing the situation through an ordered process of assessment, analysis, action, and audit.

### 1. Assessment

Assessment most often starts with a recognized problem or pain point. Examples might include a growing e-mail archive or a costly e-discovery project. The key here is not only to acknowledge the pain, but also to identify the root cause(s), much like a medical diagnosis. Typically, there is not just one symptom. A good assessment, therefore, should go beyond presenting the problem to examine and measure multiple facets of the "as is" state.

Facets might include such matters as the organization's culture; governance, risk, and compliance envi-

ronment; technical structures and capabilities; workers' skills assessment; organizational structures; and data demographics. This phase might also include a review and comparison of benchmark standards, such as the Generally Accepted Recordkeeping Principles® or ISACA's COBIT 5 (a business framework for enterprise IT governance and management).

Analysis of the information gained during this fact gathering will likely point to one or more root causes of the problem. For example, a request to buy more network storage (an apparent cost problem) may be traced back to multiple root causes:

- No control of creation of data
- No process for deleting data of former employees
- No mechanism to identify duplicate or obsolete data
- Little, if any, training to inform users regarding good data management practices

Once these root causes have been identified, the next step, analysis, is to deconstruct them further and begin to illuminate the changes to be made.

### 2. Analysis

Analysis of the root causes puts them in perspective and helps establish the desired "to be" state. This desired end state has as much to do with the goals and strategies of the organization as it does with the technical and tactical solutions.

Getting the analysis right is hard work and requires input from senior management, as well as from subject matter experts in IT, records management, compliance, human resources, and other business units. But, there is no substitute; an incomplete analysis or shortcut here will either handicap the rest of the process – or worse – lead you down the wrong path entirely.

As an example, a shortcut analysis of the above scenario might lead



simply to establishing a quota on data storage, thereby relieving the pressure to buy more server space. Although this fix might temporarily limit the growth of primary storage, it eventually will lead to leakage as users find ways to circumvent the rule. So, failing to address the root causes thoroughly not only postpones the problem, but it may also create a new one in the form of rogue repositories – leading to even less control.

Unfortunately, the process of appraisal and analysis often uncovers multiple issues. A key step is to prioritize the elements of the desired end state. This prioritization will depend on many things, including available resources, the ability to find quick wins, and the organization's culture. Priorities will and should also be driven ultimately by organizational goals and strategies.

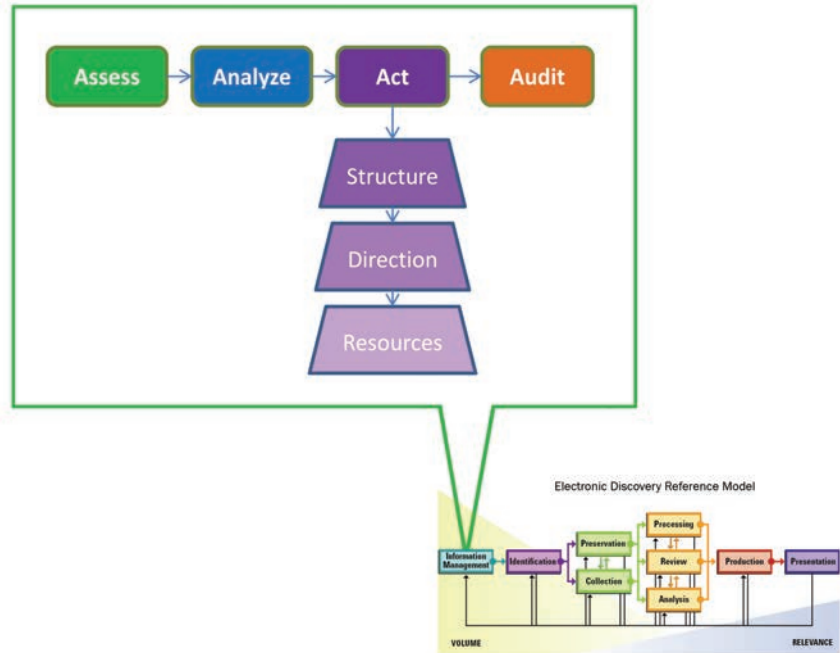
Analysis usually goes back to basics and most often involves developing structure, processes, policies, and training. Appraisal should also prepare a path and point the way to the next step: action.

### 3. Action

Too often, organizations jump to the action phase prematurely – the “ready, fire, aim” approach – installing an e-mail archive system or issuing policy changes before fully understanding root causes and putting them in perspective. However, if the assessment and analysis steps have been thoroughly completed, then the groundwork is laid to establish the necessary structure, direction, and resources to solve the problem.

The path to improved IG, regardless of industry, organization size, or even culture, requires some degree of structure. Structure provides the understanding of what record-worthy information exists, where it is and in what form, how long to retain it, and when to dispose of it.

The foundation of structure is a



**Figure 1: Information Governance Extension to Electronic Discovery Reference Model.**

Source: EDRM; Extension by Deborah H. Juhnke, CRM

current, legally validated records retention schedule and up-to-date file plans. A *retention schedule* is a high-level, functional framework for an organization's information, with retention periods based on legal requirements and business needs. *File plans* capture more specific types and locations of business records and business reference documents, typically on a departmental basis.

Direction is provided by policies and processes that enable employees to comply with information governance requirements. E-mail and computer-use policies, records management policies, and privacy and security policies all inform employees of what they should do. Processes, such as periodic clean-up days, tell them how they should do it.

It is here that the beginnings of the information lifecycle may be addressed, by encouraging thoughtful communications, such as when communications should be reduced to writing and when they should not, to whom they should be addressed, and in what form.

Identifying the right resources is an indispensable part of making good information governance a reality. Although structure and direction provide the foundation, implementing the governance plan and ensuring compliance will require people, time, training, and, often, technology.

With these key elements in place, organizations are well positioned to pursue concrete solutions for such actionable matters as managing e-mail and offsite paper records, organizing unstructured network storage, disposing of legacy data, and accomplishing litigation readiness and legal holds.

### 4. Audit

We begin and end with accountability. The buck stops at everyone's desk. Though both formal and informal audits are important compliance tools, the ultimate success of an information governance initiative will rest with individual accountability.

Workers may only be held accountable, though, if they are informed, trained, and supported.

Unless organizations offer this guidance and work to instill and support the self-discipline required to rein in the indiscriminate creation and retention of information, they will continue to struggle.

Some have said that the answer lies not in people but, rather, in technology – that people can't be trusted to monitor themselves, and that organizations should give up thinking they can rely on their employees to learn and embrace a better way. Nothing can be further from the truth.

Remember that the conditions that got them to this point consisted primarily of no direction and no guidance. Organizations can create an environment where employees work in their own self-interest – as well as that of the organization – to improve their creation, use, and disposition of information, supported as appropriate by technology.

### **Managing Half the Organization's Total Value**

According to Symantec's "State of Information Global Results 2012" survey report, 49% of an organization's value is derived from the information it owns. It follows, then, that IG is an absolutely critical tool for business success. This is true, particularly given that this same report projected that data stores would grow in the following year by as much as 67% for enterprises and 178% for small- to medium-sized organizations.

Organizations simply must take control of their information assets. Employees can be asked to follow the rules of the information governance road, just as they must follow the traffic rules of the road, provided the rules are practicable. It's up to management to lead the way. **END**

*Deborah H. Juhnke, CRM, can be contacted at [deborah.juhnke@huschblackwell.com](mailto:deborah.juhnke@huschblackwell.com). See her bio on page 47.*



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# A Consultant's View: The Principles as Diagnostic Tools

Julie Gable, CRM, CDIA, FAI

**A**lison North is a United Kingdom-based management consultant focused on developing information governance strategies that minimize an organization's risks while aligning with its vision, business strategy, and budget.

A consultant for more than 25 years (see sidebar "Alison North: A Career Overview"), North's use of the Generally Accepted Recordkeeping Principles (the Principles) began in 2011. Prior to that, she had reviewed the Principles and considered that they would be a great tool in her information governance toolkit.

North notes, "The Principles and the Information Governance Maturity Model (IGMM) complement my own methods and provide a framework, backed by a professional body. They provide additional credibility to the results I deliver to my clients. I had dabbled with my own maturity model over a number of years, but felt that the ARMA Principles and the IGMM brought a North American flavor to my consultancy. As the majority of my clients are global with offices in the U.S. and Canada, this was an important consideration."

## Flexibility Is Key

As noted in their Preamble, the Principles are both general and flexible. (See sidebar "Preamble to the Principles" on page 40). North's work exemplifies how the Principles and the IGMM are broad enough to encompass many kinds of industries and how they can be flexibly adapted to various information governance challenges. But to understand North's use of these

tools, it is necessary to understand the scope and nature of her consulting work, much of which is risk- and information-related, but at the business level rather than at the records management level.

"Rarely is my work proactive," says North. "A client doesn't call up and say 'I'd like to mitigate my safety risks by developing an information governance program.' More likely I am asked to review an organization's information governance because a problem has occurred and the company is vulnerable. I react in a proactive manner. By that, I mean I don't take the problem at face value. I look for the root of the problem before I try to solve anything."

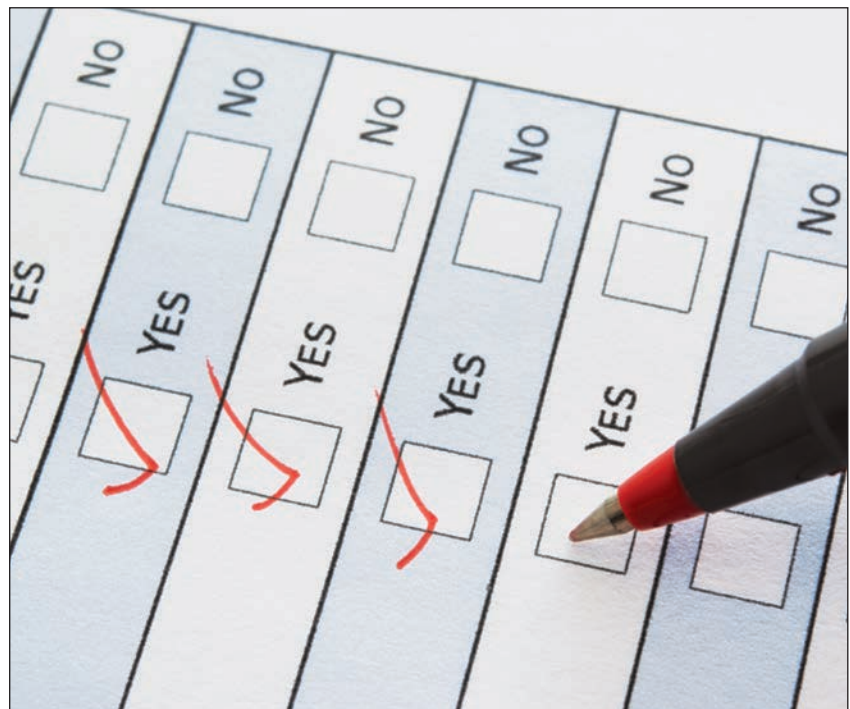
North's approach is to start at the top to gain a broad understanding of

the business, its vision, its financial status, its reason for being. She seeks to know what drives the organization's governing board to make decisions and must understand the firm's culture, its internal politics, its challenges and future information needs.

"Websites and annual reports reveal quite a lot and are a good place to start," says North, "but current and more specific details need to be gathered from within."

## Gathering First Impressions

North gathers a great deal of company information before beginning the project, and she evaluates the people, processes, and technology that are involved in finding and providing the requested background information. She





uses the Principles and the IGMM to assess this experience as a start in learning how the organization handles its information.

For example, North considers these Principles-related questions:

- Was the requested information readily available? (Availability)
- Was it protected? (Protection)
- Was she required to sign a confidentiality agreement? (Protection)
- Was it up to date? (Integrity)
- Who was responsible for the information? (Accountability)
- Was it regulated information? (Compliance)

This early picture of the organization's information handling is only a sketch, and much more is needed to understand the perceived problem and determine what kind of information governance solution the client may need.

Other information to be gathered depends on the type of organization and the specifics of the problem under consideration, but it likely includes interviews with policy makers, process owners, senior managers and board members, and the information technology, legal, and human resources functions. Other work involves review of relevant policies, procedures, laws and regulations, and any standards that exist for the client's industry.

North also identifies stakeholders, both inside and outside of the organization, with particular attention to key supporters of the information governance program and the internal leaders who influence and make change happen. Outside forces, such as the economy, national politics, and cultural and language differences in the countries where the organization operates also affect the development of the information governance program.

### Identifying Risk

After synthesizing and analyzing the client's business, industry, environment, and other factors, North is better able to identify the true prob-

## Alison North: A Career Overview

Beginning in the 1970's, North worked as a records manager for a number of oil and gas exploration companies in the United Kingdom, the United States, mainland Europe, and Japan, and she set up the first information centers on production platforms in the North Sea, where she was the first woman to work offshore in those waters.

In 1986, North founded an information consulting firm that designed records management programs for global organizations. She also developed a free, web-based, records retention tool that contained international laws and regulations mapped to record types. After selling the practice in 2011, North founded AN International Ltd. and became an independent consultant with an initial focus as an expert witness on the San Bruno Pipeline Rupture and Fire Incident for the California Public Utilities Commission.

She is the author of two books on records retention and has received the Information and Records Management Society's Lifetime Achievement Award. She provides information governance training and is a frequent speaker. She is the international director on ARMA International's Board of Directors.

lems and perform risk assessment. Depending on the nature of the consulting engagement, risk assessment may encompass business risks, safety risks, or compliance risks, as well as the risk of events that pose a threat to human life or personal security.

Often, the crucial question is whether the information that the client relies upon is good enough to mitigate these risks and if not, why not. Depending on the situation, key questions may address whether information is traceable, verifiable, and complete.

Evaluating and rating an organization's information handling is never easy, according to North:

Each organization is unique and will fare better or fail in different areas of the IGMM. For example, you would think the principle of availability would be easy to rate – something is either available or not, right? But imagine you have to evaluate a construction

records system that relates to a bridge built 100 years ago. It is entirely likely that the century-old information is still somewhat active and needs to be available in the event of a disaster. Just how easy is it to benchmark availability in those circumstances? There are many different questions to ask in this example, such as how the information is preserved, whether it is electronic, how it is made readable and usable.

The point is to use the Principles in the context of the organization's problem. The diagnosis must fit with the illness, so, for example, if the risk centers in a finance function, compliance with outside securities and accounting laws may be paramount. If the difficulty is with safety, ensuring that the most up-to-date guidance is available, accessible, and followed may be of utmost importance.

North determines the rating to assign to various elements of the

## Preamble to the Principles (Excerpt)

“These principles are comprehensive in scope, but general in nature. They are not addressed to a specific situation, industry, country or organization, nor are they intended to set forth a legal rule for compliance that must be strictly adhered to by every organization in every circumstance. They are intended to set forth the characteristics of an effective recordkeeping program, while allowing flexibility based upon the unique circumstances of an organization’s size, sophistication, legal environment, or resources.”

IGMM based on her considerable experience. In the process, she factors in whether or not it is necessary or essential for the organization to be a Level 5 in some of the Principles.

“Many times it is inconsistency that marks an organization down,” North says. “For example, there may have been policies and procedures in place at various times in the organization’s life, but adherence to them fluctuated.”

The next step is to formulate a

customized solution. North is a firm believer that there is no typical consulting project.

“While there are similarities in issues and somewhat similar results across organizations, no two assignments are identical. One size does not fit all,” she says.

### Assessing a Disaster

One major advantage of using the Principles and the IGMM was when the California Public Utilities

Commission asked North to be an expert witness on the San Bruno pipeline rupture incident that occurred in September 2010.

“The Principles provided a framework to deliver the findings in a way that could be understood by management, lawyers, engineers, and records managers alike,” says North.

For this particular assignment, North worked with attorneys and others to investigate how certain deficiencies may have contributed to the disaster. Once the gaps were identified, they were listed on the left side of a grid that contained each of the Principles across the top. (See Figure 1: “Graphic Results of Information Governance Maturity Model Risk Assessment”). Each red square in the chart indicates how the gap or inadequacy posed a risk to the company.

The chart, of course, is supported by an extensive written report documenting the findings and conclusions. To view the full report, go to [www.igmm.com](http://www.igmm.com).

The Principles Assessment Criteria	Accountability	Compliance	Transparency	Availability	Integrity	Protection	Retention	Disposition
Records Management Theme								
Strategy	1.5	1.5	-	-	-	-	-	-
Responsibilities	1.5	1.5	1	1	1	1	1	1
Training	-	1	-	1	-	1	1	1
Policies, Standards, Procedures	1	-	-	2	-	-	-	-
Records Retention Policy	1.5	1	1	1	1	1	2.5	2
Business Continuity & Vital Records	-	1	-	-	1	2.5	-	-
Records Management Processes	1	1	1	1	1	1	1.5	1.5
Records Management Storage	1	1	1	1	1	1	1.5	1.5
Technology	1	1	1	1	1	1	1.5	1.5
Average Maturity Score (1-5)	1.2	1.1	1.0	1.1	1.0	1.2	1.5	1.4

Figure 1: Graphic Results of Information Governance Maturity Model Assessment

[cpuc.ca.gov/NR/rdonlyres/23513DF5-28CB-425B-BAE4-0151981F0779/0/CPSD\\_Recordkeeping\\_OII\\_Report\\_Final.PDF](http://cpuc.ca.gov/NR/rdonlyres/23513DF5-28CB-425B-BAE4-0151981F0779/0/CPSD_Recordkeeping_OII_Report_Final.PDF). [Editor's note: Because the case is still pending, North is unable to comment directly.]

The ability to deliver results as a series of graphs is one of the chief benefits of the IGMM tool. North notes that the client can easily see that a bank of red squares containing ratings of 1 or 2 clearly indicates that the company is at risk. Furthermore, the ability to summarize the findings in terms of overall maturity levels provides perspective and indicates the areas in which work will be needed to ameliorate future risks.

But she cautions, "Of course the results have to be put into the context of the business so the IGMM grid alone is not enough. The report must also show the people, process, and technology elements that were assessed and whether the current information handling aligns with the business strategy."

Interestingly, records management is often a byproduct of North's work, rather than its primary focus.

"Most of my work involves organizations that do not have records management functions," North says. "Often times, I don't mention records management at all, even though I may use RIM tools and skills as a part of the solution. In the USA, Canada, and Australia, records management is recognized as a profession more so than in Europe and other parts of the world where many organizations don't have records managers. So, I introduce the IGMM as a tool to measure the organization's information handling and deliver a gap analysis. Unfortunately, those who have heard of records management still perceive it as a necessary overhead – something that involves spending but does not deliver a return on investment."

In closing, North notes that information governance projects will identify hot spots and bring about change in processes, staff education, and technology, but realistically, "information belongs in the engine room supporting the delivery of the organization's products and services, assisting with compliance, and providing intelligence to governments and their agencies to protect and keep us safe. The Principles and the IGMM help us to measure the way we handle our information, highlight and correct any problems, and help us mitigate risk in order to be confident enough to rely on that information."

North also contends, "You don't have to follow IGMM to the letter. Map it to your organization and your needs. Be flexible."

### Communicating Good Practice

Clearly, flexibility is at the heart of the Principles and IGMM. North's experience shows the international nature of the tools and their successful application in projects that are not necessarily limited to evaluating only records and information management programs. In the right hands, the tools provide a way to show the effect that missing components and poor practices can have on a range of governance issues.

What's more, because the tools are industry standards, they provide an objective platform for assessing current conditions and prescribing future actions, thereby enhancing the credibility of those who use them well. Perhaps most important of all, they provide an understandable way to present findings and recommendations to audiences of varied backgrounds, communicating the message of good information practices to everyone affected by them. **END**

*Julie Gable, CRM, CDIA, FAI, can be contacted at [juliegable@verizon.net](mailto:juliegable@verizon.net). See her bio on page 46.*

## Reach Your Target: Information Management Decision Makers and Influencers



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# Mapping the Way Toward Records Compliance

**Blair Maurer**

**W**hen senior leaders support records management implementation, the organization is strengthened and the results clear. The initial success of a records management initiative at the University of Washington (UW) provides convincing evidence of that.

Four years after Vice President of Human Resources (HR) Mindy Kornberg and her management team saw the need to bring records management best practices to its 160 HR employees and established a cross-departmental HR Records Management Group to accomplish that, its vision – that “records management practices are adopted by the whole campus. They become a habit, part of our muscle memory” – is beginning to become a reality.

The roadmap this group created in its drive to realize its vision can be followed by other organizations with the same goal.

## **Starting Point: Create a Cross-Departmental Team**

The team that was assembled by UW’s director of HR Business and Finance, Evelyn Harris, includes seven other members that represent their departments: Benefits, Compensation, Campus HR Operations, Medical Centers HR Operations, Information Systems, Labor Relations, and Professional Development.

For a mentor and ally, the team reached across the aisle to consult with UW’s director of Records Man-



agement Services, Barbara Benson, who serves as advisor and regularly attends its meetings.

Will Chase, an analyst representing Information Systems, commented on how the team has gelled: “We work together amazingly well. There’s a myriad of strengths independently brought to the team, whether it’s expertise in abstract policy or effective writing skills. Leadership is great; Evelyn keeps us on task and is fully committed.”

Describing the team’s mission, Chase continues, “We are here to promote and enlighten people on records and information: its uses, its proper application, and storage. And to convey why it’s important. The goal is to maintain data effectively.”

## **Mile Marker 1: Check for Clear Direction, Top Support**

“When the group formed, the management team provided a clear directive on what they wanted us to accomplish,” Harris said. “As the team

moved forward in its work and delivered its first products, Mindy [Kornberg] was so pleased that she extended the mandate. At that point, the team’s charter went from the macro view to the micro, and the team became a permanent improvement initiative for HR. Watching this develop has been exciting.”

Kornberg’s support of the mission is palpable. She reinforces the need for each HR employee to take action. She also funds and attends the annual April event marking National Records & Information Management Month and has her managers attend with their staff.

The responsible mindset is clear from the top: documents at the state-supported university are subject to the Washington state Freedom of Information Act and considered public records, they are valuable to the enterprise, and they should be managed properly.

## **Mile Marker 2: Make the Trip Fun**

Creativity is in high demand in order to achieve compliance across UW Human Resources (UWHR). The HR Records Management Group devises an annual project and communications plan that guides its outreach and publication schedule for the academic year. Sub-committees identify pain points and prioritize best practices, and the effort to produce tools, trainings, and events is open and collaborative.

The team devises innovative ways to instill records awareness. It’s top of

mind for the members that their topic hits people as a bit...dry. They also know they need to set a sense of urgency to call it a win. The team gently lowers the bait with training mixed with some humor and expects results from each department.

For example, the team is currently holding a contest called "The Biggest Loser" that encourages all to downsize their Outlook inboxes, specifically promoting compliance with the retention schedules and avoiding the common scourge of over-storage.

The contest's marketing material is tongue-in-cheek, showing the notorious, almost-full, red horizontal bar on an Outlook file tab as a thought bubble asks, "Does this status bar make my inbox look fat?" It urges folks to "drop the most gigabytes" and win a prize. (See Figure 1: "Biggest Loser Promotion.")

Bingo was the name of the game at the April 2012 Records & Information Management Month event. It featured a bingo table where staff played rounds with the side benefit of learning a few best practices.

The event also featured a scavenger hunt where employees were handed a sheet of questions and then directed to various screens or posters displaying possible answers. One question posed: How many e-mail messages does UW receive daily? Answer: 1 million (and this is from a prior year). Prizes were awarded, and staff commented on how much they learned in this energizing exercise.

The spring event was not without creative theatrics. The team's representatives from Benefits and Compensation acted out two skits: one showing the nightmare of having a disorganized employee quit without reviewing e-mail with a supervisor, another portraying the smooth exit of an employee whose key e-mail had been forwarded to the appropriate co-workers per the group's "E-mail Separation Checklist."

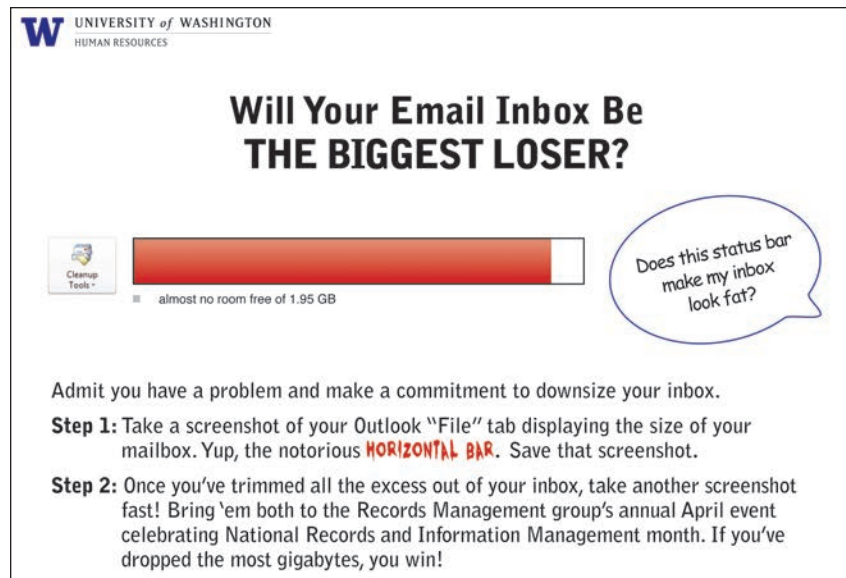


Figure 1: Biggest Loser Promotion

### Mile Marker 3: Provide Training, Tools

Group member Chase held a recent collaborative training that covered the many available tools in Outlook. He demonstrated how to use them in conjunction with the one-page "info sheets" on e-mail management the team has rolled out teaching staff how to remain in compliance with retention schedules and reduce the amount of e-mail in their Exchange account. (See Figure 2 "Junk Mail Rules" on page 44).

"We remotely logged people in so they were working in real time and could see results in their own e-mail accounts," Chase said. "One of the most useful tips we covered was the ability to view messages as conversations, using the 'clean up' function to remove redundant e-mails whose content is included in other messages. Another was using rules and quick steps, found in the Outlook ribbon, to either automatically or manually sort and respond to messages."

### Standardize Lists

The team had two early successes setting up standards for HR with administrative files. To promote compliance with stated policies, they

developed the "Administrative Records Retention List," a high-level inventory of records kept by HR units extracted from the UW General Records Retention Schedule.

The list categorizes documents, indicates how long departments should keep them, and acts as a snapshot of the overall guidance published by UW's Records Management Services office.

### Share Simple Tips

Another early success was developing and distributing the "Five Best Practices for Records Management," which are simple tips that nearly everyone could put to immediate use:

1. **Keep it simple.** When creating a file management system, reduce before you file, as only a small percentage of documents needs to be preserved. In addition, select the best method (alphabetical, chronological) for filing specific records, and start with general categories and move to more specific ones.
2. **File immediately!** Once a document has been acted on, read, or processed, file it.
3. **Create and maintain a file name inventory and map of file cabinet contents.** This helps avoid

## Junk Mail Rules! (Or not)

### Intro

Every day, we receive dozens of unsolicited email messages. Whether you are getting messages from that Nigerian Prince who needs your bank account number or advertisements from legitimate vendors, these emails can be annoying and take up a lot of space in your inbox. It can feel like an impossible task to keep up with this constant inundation. What are some strategies to keep junk mail under control?

### Examples:

- Spam and Phishing emails
- Unrequested newsletters
- Sales and/or "special offer" advertisements from vendors you regularly do business with
- Work-related reminders that don't directly apply to you
- Unsolicited professional development and/or affiliation materials
- Co-worker's "joke of the day"

### Retention guidance:

No need to maintain. Delete immediately.

### Useful tools:

**Junk Mail filter:** Use IT's junk email (spam) filter setting to reduce the number of unwanted messages in your email inbox. The tool will allow you to modify and fine-tune your junk mail filter.

<http://www.washington.edu/itconnect/email/spamfilter.html>

**Block Sender:** To add someone to your blocked senders list, right click on the email from your list of messages. Select "Junk" from the menu that appears, and then "Block Sender." When blocking a sender, you may get a warning pop-up indicating that the junk email filter is not available. This is because the junk mail filtering is happening on the exchange servers rather than your local machine. The sender will still be added to your blocked senders list once you click OK.

**Safe Sender:** If legitimate emails are inadvertently being filtered into your junk mail folder, you can add them to your safe senders list. By right clicking on the message, you can reach the "Junk" options, where you will be given options to never block the sender, the sender's domain, or a particular group/ mailing list.

### ! ACTION REQUIRED

#### 5 With 5 minutes you can:

When you see an email in your inbox that is junk, click on it to find related messages, or sort to find all messages with the same subject or sender for mass deletion.

#### 10 With 10 minutes you can:

Look through junk mail folder for messages that should not be there, and move them back to your inbox.

#### 10+ With 10+ minutes you can:

Create a habit of checking your junk mail folder on a regular basis to delete the messages and modify your filter settings. Once you get a handle on filtering and adding to the block senders list, little effort will be required.

August 22, 2012 - Info Sheet 3/14 - <https://imhr.admin.washington.edu/teams/RecordsMgt/WebPart%20Pages/Email.aspx>

**Figure 1: Junk Mail Rules**

folder duplication and makes it easier to find a document.

**4. Find a simple way to indicate disposition (destruction).** Color-code or date the folder or file cabinet to indicate the year of disposition. This eliminates the need to sort through individual documents for retention periods.

**5. Maintain consistency in naming conventions between electronic and hard copy records.** This makes documents easier to find and destroy at the end of their retention period.

### Develop Checklists

A sampling of the more recent tools and standards this team has implemented includes the "Official UW Personnel File Checklist," which names the items needed in a personnel file. The goal of this checklist is to achieve employee file consistency and reduce duplication across units.

To decide what elements needed to be included on the checklist, the team first reviewed documents kept in personnel files in Campus HR Operations and Medical Centers HR Operations (UWHR's two staffing units) and prioritized the essentials.

Glancing at the checklist, an HR administrator sees that a nurse's license and certifications sit in this file, as well as the nurse's current job description and employment history: salary changes, promotions, and transfers. The checklist delivers a quick, one-glance inventory, and for administrators, it organizes an essential task.

A related standard the team put together is a "Checklist for Transfers & Separations." The team knew there was a lack of communication among HR units when it came to employees transferring between HR operational units and among other Washington state agencies, as well as when they resigned from UW.

The team first identified inconsistencies and overlap, and then it pub-



lished the checklist instructing managers to retain necessary documents. To fill the next need, the team went on to develop a rehire checklist for reestablishing personnel files.

Group member Jennifer Mallahan commented on the efficacies: "When I was in Campus HR Operations, the checklists allowed us to work not only with the other HR units, but to streamline our own processes as well. This was especially helpful in training new people; everyone was on the same page, whether they'd been here for 15 days or 15 years."

### **Review Retention Schedules**

Next the team tackled the existing general retention schedules. Team members completed a group-wide records inventory by first creating a list of records and databases for all HR units and identifying which unit is responsible for holding the original copy of the record and which unit, if any, holds the copy.

They initiated and completed reviews of the UW-approved retention schedules and developed a process for regularly scheduled reviews.

In sum, these tools have had a larger net effect than originally expected because they can be used in other units. In fact, Harris has been contacted by other departments who wish to leverage what's been achieved across HR.

### **Mile Marker 4: Motivate with Practical Information**

A major project for the HR Records Management team members this year focuses on electronic records. They've undertaken the arduous task of showing staff how to better manage e-mail.

With so many employees improperly maintaining behemoth inboxes, the team has flexed its prioritization bicep and realized it needs to roll tools out in a cadenced rhythm, starting with easier actions leading to more complicated tasks.

### **Provide 'Cautionary' Advice**

The group carefully planned several easy-to-digest, one-page info sheets to provide to staff. One of the first sheets covered what to do with meeting-related e-mails, encouraging employees to first sort by icon in Outlook then bulk delete these types of messages.

Mid-way through the 13-sheet rollout, "Cautionary Tales: Complying with Retention Schedules" appeared to sound the alarm of poor file management and subsequent legal action. "Cautionary Tales" cites the high-profile case *Zubulake v. UBS*

which nonessential files to keep in Outlook.

"We all need to make documentation searchable and sharable," the article quotes team member Chase as saying. "As a manager, you know the business processes of your individual department. The more organized the important documents are in your department, the easier they become to maintain."

### **Destination: Keep Looking Ahead**

With the thoughtful planning of communications, training, and events,

## **It's exciting and encouraging seeing records management implementation in venues where it hadn't been considered in the past ...**

*Warburg*, which involved an individual who sued her former employer with charges of gender discrimination and blocked promotions.

When the defendant claimed that supporting e-mail was inaccessible, the judge proclaimed the missing files would have been damaging, and the plaintiff won \$29.3 million. This decision cast a rather glaring light on just how e-mail and other electronic records can be cited as evidence in federal courts.

### **Emphasize Others' Responsibilities**

The group is not shy about the role of managerial accountability; in fact, on the heels of rolling out "Cautionary Tales," the team's next article conveyed to managers: It's your turn. Create a local inventory and file plan for the business documents critical to your department. We've given you the guidance and tools, and your own teams expect you to instruct them on which files they need to store on a shared drive in order to be accessible to others and

the HR Records Management Group is poised to continue its success. There is certainly more work to be done.

Commenting on future efforts, group leader Harris is confident: "HR is just breaking ground with changing the records management culture. It's exciting and encouraging seeing records management implementation in venues where it hadn't been considered in the past – in process improvement efforts and by Information Systems as they develop new databases and reports.

"We know we need to continue to be resourceful and that our methods need to be relevant and easy to implement and sustain. The team is committed to educating HR staff about records management – to convey that better processes make our work more efficient and effective." **END**

*Blair Maurer is senior communications specialist in HR Marketing & Communications at the University of Washington. She can be contacted at bmaurer@uw.edu.*

# Zubulake Delivers Suspense, Inspiration

Jeff Whited

It seems appropriate that Laura A. Zubulake self-published her book *Zubulake's e-Discovery: The Untold Story of My Quest for Justice*. Everything in the story suggests a woman of strong will, independence, and a determination to do things her way.

In her 2002 gender discrimination suit, *Zubulake v. UBS Warburg*, she played the roles of plaintiff, attorney, detective, accountant, records manager, project manager, and chief negotiator. It's only logical she would also play the role of publisher.

Zubulake's first-person account defines a *single* description. It's a legal yarn that remains suspenseful even though most readers know the outcome: Zubulake won, receiving more than \$29 million in compensatory and punitive damages plus reimbursement of her costs.

It's also an inspirational story of how perseverance, self-reliance, and the desire for justice can prevail against the steepest odds. It's a call to action for corporate counsel and executives to whip their information governance into shape. And, on its purest level, it's a tale of David v. Goliath.

Zubulake is, of course, David – albeit a non-traditional David, who earned \$650,000 per year as a financial analyst. Goliath is UBS Warburg, the international banking giant that fired her in 2001 for “incompetence.”

She contends she was fired because her new manager discriminated against women.

The case is remarkable because of U.S. District Court Judge Shira A. Scheindlin's pretrial opinions that defined the e-discovery legal landscape, spawned an e-discovery industry, and triggered revisions to the Federal Rules of Civil Procedure.

But the landmark legal rulings are

yesterday's news. What makes the book satisfying is Zubulake's account of the roles she played so creatively while battling a corporate behemoth.

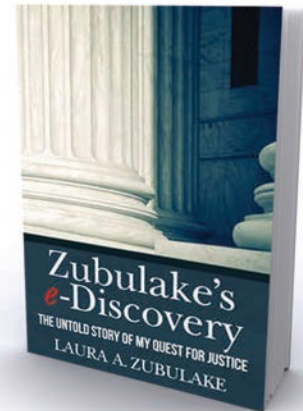
Most often she plays the part of a lawyer. But she writes like a lay person: “The law was deceiving; less complicated than I initially thought; it was more founded in common sense.”

This early epiphany inspires her to manage and develop the legal strategy. Treating her legal team as consultants rather than principals, she analyzes pretrial motions, writes outlines for depositions, scrutinizes e-mails and depositions, and attends every courtroom session.

Much of her time in this arduous four-year process is spent alone, sleuthing. She knows the truth is on her side, and the e-mails from her last few months on the job confirm it. One message from her manager's manager, for instance, is quite revealing: “As I see it, you do not appear to be upholding your end of the bargain to work with her.” Even more incriminating is a message from the manager himself, who writes that Zubulake's “ability to do a good job . . . is clear.”

For Zubulake, the truth is revealed in the e-mails; as evidence, they're more powerful than scripted testimony. She writes: “I would take the testimony of an e-mail over the sworn statement of a person with ill intent any day.”

Zubulake manually types every relevant e-mail, placing them into a spreadsheet. In doing so, she finds patterns and gaps that further convince her the defendant is concealing more evidence. Consequently, she spends the next four years outthrusting and outwitting UBS Warburg's attorneys in her quest for the production of lost e-mails on back-up tapes.



## **Zubulake's e-Discovery: The Untold Story of My Quest for Justice**

**Author: Laura A. Zubulake**

**Publisher: Laura A. Zubulake**

**Publication Date: 2012**

**Length: 230 pages**

**Price: \$25.95**

**ISBN-13: 978-0985064006**

**Source: [www.amazon.com](http://www.amazon.com)**

As dramatic as her story is, Zubulake treats the trial itself as fairly anticlimactic and devotes few pages to it. She suggests that no one in the legal world expects the kinds of surprises that upend trials in television courtroom dramas.

In the book's final pages, the author reflects on the importance of the Zubulake rulings and her courtroom victory. She says her verdict was a wake-up call to corporations and that it redefined discovery: “No longer does discovery begin with document requests, conferences, or the filing of a complaint. It begins with an organization's information management policies and procedures.” **END**

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## NAID

NAID is bringing its annual conference to Nashville, Tenn., March 22-24, 2013. "Tune in for Success" as the Music City hosts the largest secure destruction event in the world. Attendees will have the opportunity to network with hundreds of professionals, see the latest equipment innovations, and learn about sales and legislation. For more information or to register, visit [www.bitly.com/NAID2013](http://www.bitly.com/NAID2013).



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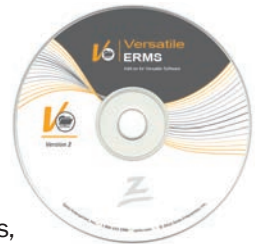
[www.rsd.com/sp2013](http://www.rsd.com/sp2013).

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### Selecting from the Alphabet Soup of Information Certifications page 22

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### Close the Door on What You Think You Know About Leadership page 28

**Cy Wakeman** is the owner of Cy Wakeman Inc. and founder of Bulletproof Talent. She has used her reality-based leadership philosophy to help organizations build talent for nearly two decades. A dynamic keynote speaker and the author of *Reality Based Leadership – Ditch the Drama, Restore Sanity to the Workplace, & Turn Excuses Into Results* and the soon-to-be-published *Reality-Based Rules of the Workplace*, Wakeman is also an expert blogger on *Fast Company.com* and *Forbes.com*. Her ideas also have been featured in *The Wall Street Journal*, *The New York Times*, and *The New York Post*. Wakeman can be contacted at [info@cywakeman.com](mailto:info@cywakeman.com) or through [www.realitybasedleadership.com](http://www.realitybasedleadership.com).

### Four Steps for Conquering Information Chaos page 34

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