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Inside this issue:

The Year in Review 2

Guest Article 8

Newsletter Notes 10

Volume 3, Issue 1

Summer 2012

July Report

By Carolyn Offutt

We have just completed a great program year for 2011-2012. And we installed our new officers for 2012-2013 at the June 20, 2012 dinner meeting.

We have a summer Chapter Social Event planned for Sunday, August 12, 2012. The Board of Directors decided to celebrate the end of a very successful 2011-2012 season and the beginning of our 2012-2013 season with a cruise of the Potomac on the "Spirit of Washington." This is a two-hour plus cruise of the Potomac with buffet lunch and entertainment. Join us on the Potomac River on August 12. Register at the newly-located ARMA NOVA web site at www.arma-nova.org/index.htm – yes...we have a new web site.

The Board is already working on the programs starting in September. We have two Summer Planning Sessions on Wednesday, July 18, and Wednesday, August 15 – our regular third Wednesdays. This could be your opportunity to get more involved in chapter



activities...consider serving on a Committee or as a member of the Executive Board. Please contact a Board member, if you would like to work with the Board for the upcoming year – you may want to join us in July and August.

Please go to our new ARMA NOVA Website at www.arma-nova.org/index.htm for more information or to become more involved in ARMA NOVA.

Our thanks to our Sponsors for this year -- Platinum Level: CSC, Iron Mountain, and Recommend, Gold Level: Zimmerman Associates and OpenText, Silver Level: Gimmel, NextPage, and Millican and Associates! Their financial support and assistance with our

programs allow us to better serve our members. If your organization would like to become a sponsor in 2012-2013 to raise its profile and further the work of the Chapter, please contact me or one of the Board members.

Make the most of opportunities that the Chapter provides. Come to meetings, get involved in our committees...Committee work is a backbone of our Chapter's success. Please let me know, if you are interested in joining a committee or if you have suggestions that can improve our Chapter.

I look forward to sharing some time with you this summer.

Carolyn K. Offutt, President
Northern Virginia Chapter of
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New Chapter Year

A new Chapter Year starts in September and exciting things are planned. Look out for the new speaker series, along with changes to the website and newsletter.

**Please Note:
The ARMA NOVA website has
changed to**

www.arma-nova.org/index.htm

**"From Records Management to Information Governance"
ARMA NOVA Year in Review
Carolyn K. Offutt**

Date	Speaker/Event	Subject
9/21/11	Jason R. Baron, NARA	Cutting Edge Issues in Information Governance: A Lawyer's Perspective
10/16-19/11	ARMA Internat Conf.	National Harbor MD
10/18/11	ARMA NOVA Conf. Social	Dinner at Cadillac Ranch Restaurant, National Harbor MD
11/16/11	Jean Freeman, Freeman & Associates	Information Governance: Why information is being placed at the strategic, board level
12/15/11	Judge John M. Facciola	Convergence of e-Discovery, RM, eFOIA
12/21/11	Holiday Charity Gala	Training Futures
1/18/12	Bill English, Mindsharp	Best Practices for Building a Records Management Deployment in SharePoint Server 2010
2/15/12	Zach Wahl, PPC	The Keys to Successful Information Governance
3/6/12	Education Seminar	Auto-Classification: Taking A Closer Look
3/15/12	DGI Conference	E-Discovery, Records & Information Management Conference & Expo
3/21/12	Michael Miller, Array Info. Technology	When is an Electronic Document an Electronic Record?
4/16/12	Paul Wester, NARA	Information Governance and the Presidential Memo on Managing Government Records: Converging Issues and the Search for New Ideas
5/21/12	Elizabeth Adkins, CSC	RIM Compliance Framework for Electronic Records
6/7-9/12	Mid-Atlantic Leadership Conference	Charlotte Chapter Hosting Region Leaders
6/20/12	Carolyn K. Offutt, Offutt Advisory	ARMA NOVA Year in Review

Cutting Edge Issues in Information Governance: A Lawyer's Perspective
Jason R. Baron, Director of Litigation, Office of General Counsel
National Archives and Records Administration
September 21, 2011



We began this fall with a successful dinner meeting on Wednesday, September 21, 2011, at the Marco Polo Restaurant. Our speaker was Jason Baron, Director of Litigation, Office of General Counsel of the National Archives and Records Administration (NARA), on "Cutting Edge Issues in Information Governance: A Lawyer's Perspective."

He gave us the Gartner definition of Information Governance as "the specification of decision rights and an accountability framework to encourage desirable behavior in the valuation, creation, storage, use, archival and deletion of information. It includes the processes, roles, standards and metrics that ensure the effective and efficient use of information in enabling an organization to achieve its goals." It is derived from a definition of IT governance which "may be defined as the processes that ensure effective and efficient use of IT in enabling an organization to achieve its goals."

He discussed the new reality in e-discovery which involves emerging new strategies for searching electronically-stored information (ESI), including "Predictive Coding."



ARMA International Conference
National Harbor Maryland
October 16-19, 2011

A number of your ARMA colleagues attended the ARMA International Conference at the Gaylord National Hotel and Convention Center, National Harbor MD on October 17-19, 2011. The conference was in the Washington DC area for the first time since the 1980's.

ARMA NOVA Conference Social Dinner at Cadillac Ranch Restaurant, National Harbor MD October 18, 2011

We had an ARMA NOVA dinner on Tuesday, October 18, at the Cadillac Ranch All American Bar and Grill in National Harbor at the conclusion of the second day of the conference.

Information Governance: Why information is being placed at the strategic, board level Jean Freeman, Freeman and Associates November 16, 2011

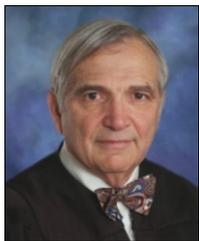
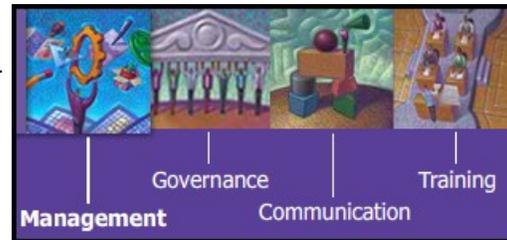
On November 16, 2011, we held a dinner meeting with Jean Freeman of Freeman and Associates speaking on "Putting Information Management at the Governance Level." She works with corporations to develop and implement governance requirements and helped us understand the difference between information management and information governance.

Jean defined governance as "A system or a set of processes which designates authority and ensures an organization's consistent management of performance, cohesive policies and decision rights (often on behalf of others)."

Governance involves strategic planning, risk management, and policy development – all done at the highest level of leadership of the organization. Management involves "implementing goals established by the governance body, according to established policies and executive limitations."

The purpose of governance is:

- To implement mechanisms that ensure the accuracy, integrity, accessibility and security of information across the organization
- To hold the organization accountable - hold the board formally accountable & require
- accountability at all levels of the organization



Convergence of e-Discovery, RM, eFOIA Judge John M. Facciola Joint Meeting NCC-AIIM and ARMA NOVA Dec 15, 2011

We had a joint ARMA NOVA and NCC-AIIM afternoon event on Thursday, December 15, 2011, with Judge Facciola speaking on "The Convergence of e-Discovery, RM, and eFOIA." The Judge gave a well-received presentation to over 85 attendees.

Holiday Charity Gala Celebration with Training Futures December 21, 2011

Then, on Wednesday, December 21, we had our Holiday Dinner Meeting with our Holiday Charity Fund Raising Event. Once again, we supported the Northern Virginia Chapter selected Training Futures, a non-profit organization that prepares people for more stable, professional office careers, as our charitable organization for the 2011 holiday season.

A representative of Training Futures and two graduates spoke about how important our contributions are for training students for entry level positions, including records management. We presented a check for \$815.00 to Training Futures, representing your contributions, ARMA NOVA matches for your contributions over \$25, and our ARMA NOVA contribution of \$200.

Training Futures is a 22-week career-training program, focusing on office and computer skills, and is set in a simulated office environment. The program is part of the Northern Virginia Family Services (NVFS) – a private, non-profit 501(c) (3) organization. Its goal is to provide technical training/job placement assistance to help high potential people who are unemployed (or underemployed) develop marketable skills and obtain employment.

Students are trained in medical terminology, health care insurance, billing and coding, MS Office Suite, Windows Internet/e-mail, keyboarding, business math/English, customer service, reception duties, filing, 10-key calculators, and professional development workshops.

Year in Review Continued....

Best Practices for Building A Records Management Deployment in SharePoint Server 2010

Bill English, CEO, Mindsharp

January 18, 2012

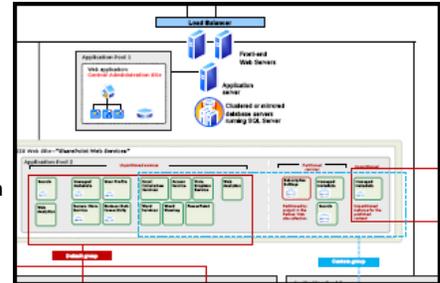
We kicked off the 2012 New Year with our January monthly dinner on Wednesday, January 18, 2012, with Bill English, CEO of Mindsharp, speaking on "Sharepoint Governance."

Bill English showed us how to build a Records Management deployment from scratch, utilizing the tools that Microsoft has provided in SharePoint Server 2010. This session built on our knowledge of taxonomies, file plan development, basic compliance knowledge, and general ECM principles.

Bill English is an industry leader, author, and educator specializing in SharePoint

Products and Technologies. Using demos, he discussed:

1. Metadata needed in SharePoint System so that information is swiftly and easily findable, addressing precision and recall.
2. Staffing requirements and skill development requirements to build and maintain the records management system in SharePoint
3. Existing decisions required in order for the SharePoint system to be successfully leveraged to support organization goals
4. Metadata Governance and Design in SharePoint



The Keys to Successful Information Governance

Zach Wahl, Project Performance Corporation

February 15, 2012

Zach Wahl of Project Performance Corporation spoke at our February 15, 2012, dinner meeting about the keys to successful information governance, detailing project, system, and content governance best practices honed over the course of over 250 engagements around the world. The session discussed the Four Pillars of Successful Governance and the business value they offer. The session leveraged a number of case studies from both the public and private sector and provided examples of real ROI offered by effective governance.

Zach Wahl, is the Vice President for PPC's Strategic Solutions Division and has worked with over 200 public and private organizations to successfully implement portals, content management, collaboration, social computing, and other information management systems. His discussion included:

Examples of the value statements, roles and responsibilities, policies and procedures, and communications plans critical to effective governance.

Examples of the benefits of governance and the costs of failing to implement effective governance.

Best practices for designing a governance plan that works for your users and your organization



Seminar on Auto-Classification: Taking A Closer Look

March 06, 2012

We had a full schedule in March starting with a very successful ARMA NOVA Spring 2012 Chapter Seminar on March 6, 2012, on "Auto-Classification: Taking a Closer Look."

Our speakers included:

- Randy Kahn of Kahn Consulting - Defensible Disposal
- Dr. Bill Underwood of Georgia Tech- How Does Auto-Classification Work?
- Jason Baron of NARA - Auto-Classification and President Obama's RIM Mandate
- Stephen Ludlow of OpenText - Transparent and Defensible Auto-Classification
- Susan Sullivan of NARA and Tim Shinkle of Gimbal Group - Managing Shared Content
- Mark Mandel of OpenText - Auto-Classification Lessons Learned



Year in Review Continued....

E-Discovery, Records & Information Management Conference & Expo
DGI Cosponsored by ARMA NOVA
All Day Conference at Regan Center
Mar 15, 2012



Next, we co-sponsored with the Digital Government Institute, "The E-Discovery, Records & Information Management Conference & Expo" on March 16, 2012.

When is an electronic document an electronic record?

Michael Miller, Director of RIM Consulting, Array Information Technology
March 21, 2012

Finally, we finished the month with our dinner meeting on March 21 with Elizabeth Adkins, our Director for Education, presenting the slides on "When is an Electronic Document an Electronic Record?" on behalf of Mike Miller, CRM, of Array Information Technology, Inc, who was unable to attend the meeting. Michael Miller is Director of RIM Consulting for Array Information Technology. His presentation discussed how we as RIM professionals need to expand our focus beyond records retention and disposition, to a full range of lifecycle management governance strategies and processes.



His discussion included the need to:

- Examine the various answers to the question of when a document becomes a record in the context of records management theory and practice.
- Understand how those answers impact the end-user, program manager, IT manager and General Counsel.
- Learn criteria for determining which approach would best fit your organization.

The classic end-user question is "When does my document become a record?" The presentation analyzed several answers to this question and compared them from the perspectives of the employee, manager, records manager, IT manager, and legal counsel. He summarized the advantages, pitfalls, and unintended consequences of each and offered thoughts on how well each would integrate with a compliance-centric approach to RIM, an information-centric approach, and an implementation of SharePoint.

Information Governance and the Presidential Memo on Managing Government Records: Converging Issues and the Search for New Ideas

Paul Wester of NARA, Chief Records Officer of the Federal government
April 21, 2012



We had a great turn-out for our April 21, 2012, dinner meeting with Paul Wester of NARA, speaking as the Chief Records Officer of the Federal government, on "Information Governance in the Federal Government." He gave us an insider's perspective on the efforts to date of the agencies responses to the President's Memo on Records Management and the work ahead toward developing NARA's response to the President's Memo.

Year in Review Continued....

RIM Compliance Framework for Electronic Records

Elizabeth Adkins, CSC,

May 16, 2012

We enjoyed having our own Elizabeth Adkins, CRM, speaking at the May 16, 2012, dinner meeting on “RIM Compliance Framework for Electronic Records.”

Elizabeth is Director of Global Information Management at CSC. Her presentation included her philosophy:

Typical documents/records distinctions increasingly irrelevant in a world of ESI

Use a broad definition of “Record” and employ terms that are more intuitive to the end user

A “Record” is recorded information that supports the activity of the business or organization that created it

Records can be transient, a work in progress, final/approved, or convenience copies

Her RIM Compliance model is based upon the following steps:

Identify a Record

Categorize a Record

File a Record

Search for a Record

Report on a Record

Apply Retention to a Record

Dispose of a Record or Retain for Reuse

Hold a Record



She defines the available systems as:

Structured Data Management Systems

New applications/systems that will be purchased or developed for which RIM compliance standards can be introduced early in requirements definition process

Legacy applications/systems that must be modified and/or enhanced to introduce RIM compliance standards

Unstructured and Semi-Structured Data Management Systems

A. File shares or local directories containing files with basic operating system (OS) functionality (e.g., Windows Active Directory)

B. Content management systems or applications that track and manage unstructured content (e.g., SharePoint, Open Text, FileNet, Documentum).

Hybrid Systems containing a mix of structured and unstructured data

Content containing applications/systems — includes both line of business (LOB) applications, e.g., legal matter management,

Mid-Atlantic Leadership Conference

Charlotte NC

Jun 7-9, 2012

Five of our board attended the Mid-Atlantic Leadership Conference in Charlotte NC. The Piedmont Chapter in NC hosted the regional leaders for the annual regional conference, including a CRM Workshop.

ARMA International
Mid-Atlantic Region

Year in Review Continued....

Tod Chernikoff, ARMA Region Coordinator

Chapter Year in Review

Installation of Officers

June 20, 2012

Chapter Leadership reviewed the events of the past year. Afterward Todd installed the chapter officers for the next year.

ARMA NOVA Installation of 2012-2013 Officers

June 20, 2012

- Elected
 - o President Carolyn Offutt, Offutt Advisory Services
 - o Vice President Elizabeth Adkins, CSC
 - o Secretary Rebecca Conner, Zimmerman Assoc.
 - o Treasurer Katherine Goodwin, CSC
 - o Education Director Mark Mandel, OpenText
 - o Membership Director Jack Frost, IQ Group
- Appointed
 - o Marketing Director Charles Herbek, CSC
 - o Director At Large Anna Seiss Cooper, Consultant
 - o Webmaster Elisabeth Butler, U.S. Senate
 - o Past President Mark Mandel, OpenText
 - o Newsletter Editor Justin Isaac, Booz Allen

ARMA NOVA Summer Planning Sessions

CSC Offices

July 16, 2012

August 15, 2012

But don't forget about the ARMA NOVA Summer Planning Sessions on Wednesday, July 16, and August 15, 2012. All are welcome to join us at the CSC offices in Falls Church at 5:30 pm for dinner and planning.

ARMA NOVA Annual Social Event

Potomac River Lunch Cruise

August 12, 2012

The Chapter held a social event for all members onboard the Spirit of Washington. The Cruise doubled as a party to thank Angela Tayfun for her years of service to the chapter and wish her well as she moves.



THANKS ANGELA!! BEST WISHES!!

“State of the Art” in Records Management

by Mark Mandel
ARMA NOVA Education Director



Over the past couple of years I have come to the realization that with the many changes taking place in our industry there is a new “State of the Art” in Records Management. This change has come about because of new market drivers combined with new vendor solutions in response to these requirements.

Part One of this blog focuses on the new market drivers affecting the industry. Part Two will focus on how the industry has responded to these new drivers.

eDiscovery

The Federal Rules of Civil Procedure dictate that ALL available documents are discoverable in a court case. This includes electronic content, regardless of media. Email is the largest type of electronic content that is requested in eDiscovery. Instant messages, voice mail, copies, drafts, personal correspondence, and so on are all discoverable. Therefore, it does not matter if your organization has declared “official” records, all content whether declared or not is discoverable.

Discovery costs are very high. The ramifications of missing documents in a litigation can be very high as well, leading to fines, sanctions, and negative judgments; in some cases leading to jail time for defendants. Therefore, it is very important that Information Governance is applied to all content so that it can be found easily, so that it can be automatically classified to the correct retention rule, and so that it can be discarded if it is not relevant. This approach lowers discovery and storage costs and eliminates or significantly reduces the missing documents issue.

This approach, called Content Lifecycle Management, applies Information Governance to all content from the time it is created, captured, or ingested, all the way through final disposition. Governance is applied to email, social media, electronic documents and all versions, file shares, SharePoint, and content created or captured by business applications such as SAP, case management applications, collaboration tools, and more.

This market driver has changed the foundation of records management, leading to a redefinition of a Record. In the past, a record was “declared” once its business process was completed, and the Records Retention Schedule defined how this static record was to be filed, stored, and retained. File Plans and Retention Schedules were based on a paper paradigm, focusing on how to organize boxes so that they could be accessioned, archived, and dispositioned effectively.

The new definition is “everything is a record.” Therefore, all content must be managed. This approach requires a new Big Bucket Record Series called “Transitory.” Using this approach content that is considered to be a non-record such as personal email, non-business correspondence, drafts, copies and so on can be explicitly classified as Transitory. A retention rule is applied such as 120 days, and this Transitory content can be defensibly destroyed. This approach reduces your content and storage requirements significantly and lowers discovery costs.

In this new paradigm, Records Management (RM) is a subset of an Enterprise Content Management (ECM) system. The ECM solution enables RM to become part of the DNA of critical business processes such as Human Resources, Accounts Payable, Finance and Accounting, Case Management and more. These processes receive and create records that are captured and indexed as a function of the business process so that RM classification is automatic.

Building these mainline business processes to include RM produces a full audit trail for all business transactions. This supports the next key new business driver, Audit Readiness.

Audit Readiness

Audit Readiness is a term coined by some U.S. Department of Defense organizations to refer to the ability of an organization to

respond quickly, accurately, and completely to an audit. Paper based and non-automated solutions to this requirement can produce negative results and serious ramifications. An automated process, on the other hand, can allow organizations to relatively easily produce a full audit trail of their business transactions, reducing the time and effort required to respond to an audit.

Because failed audits can result in potential costs in the millions of dollars depending on the context, this issue has come to the forefront as a market driver. Using the Content Lifecycle model, this complete audit trail of information that supports mainline business processes is attainable. For example, using OpenText's Extended ECM for SAP, all supporting documentation around key business processes are capture, classified and retained based on a set of business rules.

The Presidential Memo – Managing Government Records

President Obama issued a memorandum to all agencies on Nov. 28, 2011 requiring each agency to appoint a senior official to deliver a plan for moving the agency from paper based records management to electronic records, specifically email, social media, cloud solutions, and so on. Each agency has submitted their plan to the National Archives and the Office of Management and Budget. This summer a directive will be generated to all agencies that will incorporate a number of ideas from agencies and the public for how to move to electronic records.

As is the case with many government directives, this is an unfunded mandate. However, moving from paper to digital based recordkeeping and processes, as we know, has a very significant return on investment. Therefore any solution deployed to solve this mandate, if deployed wisely, will pay for itself many times over.

Doing More with Less

One of the tag lines in the U.S. Federal Government these days is “doing more with less.” This refers to the dynamic of shrinking budgets and resources combined with increasing volumes of information to manage. This applies to the private sector as well as all levels of government in these challenging economic times. Technology and automation are keys to successfully meeting this challenge. Tools such as integration of RM and Information Governance into key business processes and email archiving, and using new tools such as Auto Classification help organizations cope with these increasing volumes.

Big Bucket Retention Schedules

The new paradigm for RM includes a redefinition of Records Retention Schedules. Legacy schedules were developed around a paper-based paradigm and typically are very granular, with many arbitrary retention rules that are now unnecessary and undesirable. Many organizations have hundreds or even thousands of individual record series. In the past several years there is an increasing trend toward Big Bucket Record Schedules that boil everything down to just a handful of “buckets.” In the context of an ECM/RM solution, the ECM system contains all the metadata needed to search for and find records, so the retention schedule only needs to determine how long to keep it. A streamlined Big Bucket schedule is easier to implement, is more intuitive, and compliance is much more effective.

The Government Accountability Office (GAO) is a leader in this trend, with a new schedule that contains three big buckets and a total of 27 sub-categories. Other agencies are following GAO's lead, and similar moves are being made in the private sector. NARA has endorsed this approach so it is becoming increasingly more accepted.

To recap, the new market drivers that are now “State of the Art”:

- eDiscovery and the Federal Rules of Civil Procedure
- Redefinition of a Record to Include Everything
- Audit Readiness
- Presidential Mandate to Move from Paper to Digital Records
- Do More with Less
- Big Bucket Retention Schedules



2011-2012

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Newsletter

ARMA InNOVations is published monthly from September to June by the Northern Virginia Chapter of ARMA International. This newsletter is used to inform chapter members about programs and professional information. ARMA NOVA holds a monthly professional meeting and occasional social programs.

Information and opinions expressed in this newsletter are strictly those of the authors and do not necessarily reflect the official policy of ARMA International or ARMA NOVA. The information in the newsletter also does not necessarily represent the views of the membership or editor. No endorsement of advertisements, seminars, articles, calendar events, or commentaries is intended.

Submissions

ARMA NOVA welcomes contributors to the newsletter, by both members and non-members. Individuals can submit articles, news stories, reports, opinion pieces, chapter notes, and calendar items. Please send any items for publication by the 1st of the month to:

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