



**Records Management Governance– Getting it Right in 12 Steps**

4. **Regulatory/Legal Compliance – Following the rules**  
 To ensure regulatory and legal compliance at the federal, state/province, and local municipality levels, your records management program should identify relevant laws, best practices, and tests as well as testing metrics to ensure the integrity of your records.
5. **Business Continuity – Making sure your business continues**  
 We never know when a disaster, large or small, may happen so it is important to do your planning before you find yourself in a disaster situation. Continuity planning, continuous data protection, and disaster recovery are part of a risk management strategy. Business continuity planning directly determines how an organization protects and backups its records, metadata, and other information, including frequency and establishment of hot, warm, and/or cold sites. Backup and Disaster Recovery plans are somewhat subjective. Rarely will an organization fail a records management audit because of how these plans are produced. However, not having a plan for records recovery may put passing a third-party audit at risk. The Backup and Disaster Recovery plans should be reviewed on a regular basis and modifications made to keep the plan current to the organization's needs and information architecture. Key to continuity is ensuring the records necessary to run the business are available. A Vital Records Program identifies and protects those records that are necessary for the continuation of operations under emergency conditions. The policy and procedure for these special records must be documented for on and off-site storage as well as backup and disaster recovery for electronic records.
6. **Security and Privacy – Protecting your information**  
 Policies, procedures, and processes must be developed to ensure protection of all confidential information (requirements will vary depending on record type) when stored, accessed, and transferred. Companies must investigate their record systems and communications to ensure proper:
  - Treatment of security designations
  - Internal and external access privileges
  - Labeling of documents and communications
  - Tracking of record creation, access, modifications, deletion, and transfers
  - Identification of records under hold orders

Organizations must have a written and communicated policy concerning email, instant messages, and social network communications. If used, all formats must be addressed in the Records Management Plan. One common way to fail an audit is by not having policies that do not preclude corporate email from being forwarded to personal email accounts. Co-mingling of corporate and personal information is wrong and can have significant implications should your organization get into a legal situation.



*Meeting Info*

- Meetings are from 3:30-5:30
- ARMA members \$10
- Non-ARMA Members \$15
- First time guests attend

"Christmas is not a time nor a season, but a state of mind. To cherish peace and goodwill, to be plenteous in mercy, is to have the real spirit of Christmas."  
 — Calvin Coolidge

**Door Prize Sponsors**

If your business is interested in sponsoring our door prize, you can provide advertisement and/or pamphlets for the meeting. Please see a Board Member for details.



# ARMA- Louisville Chapter



**December 17, 2013**

*Upcoming Chapter Meetings*



- Tuesday, January 21st @ Farm Credit. Topic: TRIM
- Tuesday, February 18th @ Farm Credit. Topic: Cloud Back-Up
- **Wednesday**, March 18th @ Papa John's. Joint meeting with Lexington Chapter. Guest speaker: Blake Richardson, author of Records Management For Dummies.

Farm Credit: 1650 Lyndon Farm Court– 2nd Floor of Neustar Building

Papa John's: 2002 Papa John's Blvd



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[eva.bush@e-farmcredit.com](mailto:eva.bush@e-farmcredit.com) 502-420-3808 or 502-640-0966
- Vice-President: Tammie Mills  
[tammie.mills@yum.com](mailto:tammie.mills@yum.com) 502-874-6272 or 502-930-5392
- Treasurer: Yvonne Wathen  
[yvonne.Wathen@yum.com](mailto:yvonne.Wathen@yum.com) 502-874-8498
- Secretary: Andy Dobelstein  
[adobelstein@thedatavault.com](mailto:adobelstein@thedatavault.com) 502-244-1151 or 502-553-5141
- At-Large: Stacie Older  
[stacie.older@e-farmcredit.com](mailto:stacie.older@e-farmcredit.com) 502-420-3754



## We Want You!

We need everyone who is a member to try and bring someone who has not been here before. Would your colleague or peer benefit from the networking we offer?

Could they help us in becoming better informed leaders? Please submit contact information for prospective members to our chapter secretary

Andy Dobelstein. [adobelstein@thedatavault.com](mailto:adobelstein@thedatavault.com)

## We're on the web!

<http://louisville.arma.org>



"A good objective of leadership is to help those who are doing poorly to do well and to help those who are doing well to do even better."  
— Jim Rohn

## ARMA Membership >>>

You can begin or renew your ARMA membership by applying online or filling out an application.

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## Records Management Governance– Getting it Right in 12 Steps

By Betsy Fanning

- 1. Records Inventory– Knowing what you have.**  
The records inventory identifies and quantifies **ALL** organizational records.– paper and electronic. Once the records are identified, they are then analyzed for various purposes:

  - Records retention
  - Legal protection
  - Improvement opportunities
- 2. Retention Schedule – Knowing what to do with what you have.**  
Once you have identified and analyzed your records, you can take that information to develop a timetable that will determine how long your records must be kept and when they can be disposed. The timetable should include references to statutes and other legal issues associated records series as they relate to your specific industry. It is also a good idea to take into consideration good business practice and document the treatment of records not only based on statutes and regulations but also good business practice. The Records Retention Schedule should enable an evaluation of records for various purposes:

  - Administrative including control and review (i.e., external audit), fiscal, and tax purposes
  - Legal which may be compliance-based and include statutes of limitation considerations
  - Informational, i.e., research value, are typically determined by business units themselves
- 3. File Plan – Making use of your records**  
The file plan documents the indexing and classification schemes for arranging, storing, and retrieving records. It is usually organized by records series or category. Each records series includes a description, record keeping requirements, roles, disposition, and associated non-record collections.