

The Western RIM



Pres Talk

I can't believe summer is over and our chapter year has begun. I want to thank last year's board of directors: Chairperson of the Board & Webmaster Donna Crock, President Pat Newbern, Secretary Lisa Lane, Treasurer Deanne Widauf, Programs Wendy Kinkade & Kathy Levasseur, Education Debbie Leonard, Membership Tim Tyler, and Newsletter Mary Burby. Everyone that attended any of our meetings know what a great job they did. And I want to welcome

our new board of directors: Chairperson of the Board Pat Newbern, Vice President & Treasurer Lisa Lane, Secretary Maxine Hernandez, Programs Wendy Kinkade, Education Rich Wilson, Membership Tim Tyler, Newsletter Mary Burby, and Webmaster Donna Crock.

I know we're going to have a great year. To start off with, Lisa Lane attended the Leadership Conference this past July in Helena, Montana (Big Sky Chapter hosted). She said the highlight was taking a river boat tour and seeing a "Montana Black Bear," which was really a black cow. She also said that ARMA Headquarters has a new program called "Session of the Month". They'll have different topics each month and in that month each member can choose a time

that fits them and log onto that months session and watch the power point presentation. Wow! Talk about a great educational idea.

September 13th we are starting off our general meetings with CASA (Court Appointed Special Advocate). Betsy Putnam, the Director of Laramie County CASA, will be talking about this non profit organization that trains community volunteers to advocate for the best interests of abused and neglected children. This will be at 11:30 -1:00 (ish) at Uncle Charlie's. If you are interested in coming, please contact Wendy Kinkade at wkinkade@cheyennecity.org or <mailto:wkinkade@cheyennecity.org>.

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Board of Directors

Chairperson of the Board Pat Newbern	Programs /Public Relations Wendy Kinkade
President Barb Thomassee	Education Rich Wilson
Vice-President Lisa Lane	Membership Tim Tyler
Secretary Maxine Hernandez	Newsletter Mary Burby
Treasurer Lisa Lane	Webmaster Donna Crock

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Pres Talk, continued

Then on October 7th, for Archive Month, we will be having an all day workshop at the Department of Employment in their CRC Conference Room. The topic being “Basics of Electronic Records Management”, and the speaker is Geoffrey A. Huth from the New York State Archives.

The 56th Annual ARMA International Conference & Expo will be held October 17-19, 2011, just minutes outside Washington, D.C. The education sessions and Expo will be at the Gaylord National Hotel and Convention Center. A couple of the hot topics are “Making the Jump to the Cloud; How to Manage Information Governance Challenge” or “Gearing Up for E-Discovery; How to Meet the Challenges of the Post-Bailout World”. This is a great learning and networking experience. For more information go to www.arma.org/conference. Our own Janie Wait & Rich Wilson will be speaking at a educational session this year. In the past they’ve done poster sessions. They do a great job with their Disaster Recovery presentation.

To conclude, I would like to thank everyone for their support, and I am so proud to represent our chapter at the ARMA International Conference. If you need me please contact me at (307)777-4494 or email barbara.thomasee@wyo.gov.

Barb

Glossary Corner

hot site

An alternate facility that has the equipment and resources to immediately recover the business functions affected by the occurrence of a disaster.



June 2011 General Meeting

WYOMING CHAPTER

Association of Records Managers and Administrators

YEAR-END MEETING MINUTES

JUNE 9, 2011

**SANFORD'S RESTAURANT
115 E. 17TH STREET
CHEYENNE, WY 82001**

Please Note: These minutes are abridged.

Members present: Tony Adams, Kristy Anderson, Mary Burby, Dolores Crock, Donna Crock, Lisa Hastings, Maxine Hernandez, Wendy Kinkade, Lisa Lane, Debbie Leonard, Kathy Levasseur, Pat Newbern, Valerie Roybal, Burt Sanchez, Barb Thomasee, Albin Wagner and Rich Wilson.

Guests present: Pat Anderson, Dale Crock, Destiny Kinkade, Tim Hendricks, Tracy Lieske, Bill Newbern, Frank Rodriguez II, Diane Sanchez, Tommy Thomasee and Sue Wilson.

After a social hour and vast amounts of food, President, Pat Newbern welcomed and thanked everyone for coming to the Year End Meeting. She had all the members introduce themselves and their guests. Pat gave a brief over-view of the past year and the Chapter's accomplishments and activities. Pat recognized our new members and welcomed them to the chapter. She also recognized our chapter supporters: City of Cheyenne, for seminar support services and chapter meeting facilities; Wyoming State Historical Records Advisory Board (SHRAB), for seminar and workshop support; Department of State Parks & Cultural Resources / Wyoming State Archives, for seminar and workshop support and chapter meeting facilities; and the Department of Transportation, for seminar and workshop handouts.

Donna Crock gave out the awards to our Chapter Members and Supporters: Kathy Levasseur – Programs Co-Chair, Debbie Leonard – Education, Deanne Widauf – Treasurer, Lisa Lane – Secretary, Barb Thomasee – Vice-President, Mary Burby – Newsletter, Wendy Kinkade – Programs Chair, Tim Tyler – Membership, Kristy Anderson – Seminar Chair (13th year), Tony Adams and Rich Wilson from SHRAB and Pat Newbern was recognized for serving as our Chapter President.

Longevity pins were awarded to Lynn Orester for 15 years, Donna Baur, Deanne Widauf and Rich Wilson for 10 years, Mike Wingert for 5 years and Dan Siglin for 20 years. Donna Crock was presented an award for serving as Chairperson of the Board. Congratulations!

Rich Wilson was presented with a retirement gift from the chapter for his contributions to the chapter as an officer and member. It was a caricature of him in his office surrounded by piles of files. Chapter members signed the mat surrounding the picture.

Pat gave the final treasurer's report for the year. The balances of the accounts are as follows: checking account \$4074.38, savings account \$6772.83, term share account #10412 shows a balance of \$4000.00 and term share account #4396 has \$5260.12 for a total of \$20107.33. Mary Burby made a motion to approve the treasurer's report; Kristy Anderson seconded it. The motion passed unanimously.

Vice-President, Barb Thomasee, announced the four members that were nominated by chapter members for Chapter Member of the Year: Kristy Anderson, Donna Crock, Pat Newbern and Deanne Widauf. The committee based their decision on committee work, job duties, attendance, support of the chapter and members, and outside activities. The winner of this year's Chapter Member of the Year is Donna Crock. Congratulations Donna!

The new officers for the 2011-2012 Wyoming Chapter of ARMA Board were announced and sworn in. Your new officers are as follows: President - **Barb Thomasee**, Secretary - **Maxine Hernandez**, Programs - **Wendy Kinkade**, Education - **Rich Wilson**, Membership - **Tim Tyler**, Newsletter - **Mary Burby**, Webmaster - **Donna Crock**, Chairperson of the Board - **Pat Newbern** and Treasurer and Vice-President - **Lisa Lane**.

The meeting was adjourned after the installation of the new officers.

Congratulations! Here's to a great new year!

Respectfully submitted by:

Lisa Lane, Secretary

Member Spotlight

2011 — 2012

Wyoming Chapter Board Members

Chairperson: Pat Newbern

President: Barbara Thomasee

Vice President: Lisa Lane

Treasurer: Lisa Lane

Secretary: Maxine Hernandez

Education: Rich Wilson

Membership: Tim Tyler

Programs: Wendy Kinkade

Newsletter: Mary Burby

Plan Now to Attend !!

Wyoming Archives Day Workshop

October 7, 2011

8:00 a.m. – 4:30 p.m.

LCCC Center for Conferences & Institutes (CCI) ~ 1400 College Dr
Conference Rooms 129-130, Cheyenne, WY

Basics of Electronic Records Management

Speaker:

Geoffrey A Huth, New York State Archives

Mr. Huth is an internationally respected speaker who has developed electronic records management initiatives for the New York State Archives, including documenting eGovernment transactions, identification of and preservation for historical records (digital & hard copy formats), and electronic records in geographic information systems for archivists and record managers.

Who should attend? This workshop is intended for everyone that works with records (hard copy & electronic), including Records Managers, IT Professionals & Archivists who may have an understanding of archival principles and techniques, but who need the basics and more - in how to apply those principles to records in electronic form.

All archivists and record managers must begin somewhere in this rapidly changing environment of electronic records. This workshop can give you the basics for hard copy and electronic records management including the requirements of records and information management and the principles of appraising, accessioning, and preserving records in digital format.

'Knowledge of' and 'access' to records in digital format is no longer an option.....
They are now essential to you and your organization!

All attendees must Pre- Register

~~ **Registration Form** ~~

Registration Fee: \$20.00

Your registration Includes: All day Workshop, handouts, breaks, catered lunch, beverages & afternoon ice cream social !

Name: _____

Title/Organization: _____

Address: _____

City: _____ ST: _____ Zip: _____

Phone: _____ E-mail: _____

(State of Wyoming Vendor #: VC0000008886)

Make checks payable to WY ARMA & send with completed registration form by September 26, 2011 to:

Wyoming Archives Day Workshop
c/o Records Management Unit - 2301 Central Ave - Rm. 173
Cheyenne, WY 82002

For More Information \ Pat Newbern at 777-8907 ~ E-mail: pat.newbern@wyo.gov
Please Contact / Barb Thomasee at 777-4494 ~ E-mail: barbara.thomasee@wyo.gov

In celebration of National Archives Month, Wyoming Chapter of ARMA is pleased to offer this workshop in Partnership with the Wyoming State Archives and Wyoming SHRAB

Ask a Lawyer

A Syndicated Column

By John Isaza, Howett Isaza Law Group LLP

Editor's note: Mr. John Isaza is an attorney and a member of ARMA International. He is one of the most respected experts on RIM compliance and legal matters and has been a speaker at the annual ARMA International conference. He is currently doing a column for the SCIE Chapter and we will be including his column in our



John Isaza

This is part of a syndicated column I will be doing for ARMA chapters, including the Wyoming ARMA Newsletter. My column is devoted to answering information governance, records management and related legal questions from Chapter Members. As you read my responses, please note that although I am an attorney specializing in these areas of law, these are my opinions only based on very limited knowledge of the Member's particular circumstances. My opinions should not be construed as legal advice. Kindly consult with

an attorney for more formal advice. That said, please keep your interesting questions coming.

1) Why is a Legal Hold process so important for a company to implement?

I have seen countless cases where the court has imposed sanctions for failure to implement a "legal hold." I have yet to see a case where a records retention schedule ("RRS") is scrutinized. Although the RRS is a key foundational document to defend any RIM program, the legal holds policy and procedures will keep the organization and its employees away from financial or evidentiary sanctions, and maybe even out of jail under Sarbanes-Oxley or the Federal Sentencing Guidelines. That said, the RRS is increasingly coming under scrutiny in discovery. And, again, the issue is not whether the assigned retention periods met the strictest letter of the law, but whether the organization has followed its own policy.

2) What new e-discovery challenges are companies facing with new formats for data, documents and records?

The challenges are daunting to say the least. It seems every day someone or some organization is in trouble for failure to produce information in e-discovery, and in a recent case for producing too much information. The latest case involves a complaint of malpractice against a prominent law firm for wrongful production of electronic records in discovery. Law.com reported as follows on June 9th: "When federal and state investigators five years ago

began subpoenaing J-M Manufacturing Company as part of an investigation into allegations in a whistleblower suit, the company's lawyers at McDermott Will & Emery handed over 250,000 documents. But according to a lawsuit J-M filed June 2 in a state court in Los Angeles, McDermott produced too much – all because it did not thoroughly review the work of contract attorneys at e-discovery vendor Stratify. J-M claims that 3,900 privileged documents were handed over to the federal government. J-M, which replaced McDermott in March 2010 with Sheppard Mullin Richter & Hampton, says those documents were in turn handed over by the federal government to the whistleblower's lawyers, who have refused to destroy or return them." We are tracking this case very closely, as it has the potential to send shock waves throughout the legal industry.

3) What are the most common types of RIM related issues that lead to litigation sanctions?

My response to Question #1 hits this issue head-on.

4) Are there any real world examples of Records Managers facing penalties for their company's failure to follow its RIM policy?

I have not personally come across any case law where the Records Manager is facing penalties. That said, I have never specifically set out to find such a case. If there was one, I am sure someone in the RIM industry (e.g., a vendor) would have trumpeted the heck out of it by now.

Check out my *7 Steps for Legal Holds* book at: <http://tinyurl.com/mo722k>

Follow my legal updates at [Twitter.com/Jisaza](https://twitter.com/Jisaza)

www.HiLawGroup.com

John Isaza is a California-based attorney and founding partner of the Howett Isaza Law Group, a law firm that specializes in electronic information governance, records management and overall corporate compliance. He may be reached at Jisaza@HiLawGroup.com or follow him on Twitter and LinkedIn.



SEC Dumps Documents

September 07, 2011

For the last two decades, the Securities and Exchange Commission (SEC) has allegedly been destroying digital records. According to an article in [Rolling Stone](#), SEC whistleblower Darcy Flynn told Congress that the agency has been systematically destroying its own intelligence over the course of three presidencies.

The documents destroyed by the SEC reportedly contained information of an entire generation's worth of knowledge regarding insider trading and fraud.

"With a few strokes of the keyboard, the evidence gathered during thousands of investigations – '18,000 . . . including Madoff,' as one high-ranking SEC official put it during a panicked meeting about the destruction – has apparently disappeared forever into the wormhole of history," *Rolling Stone* writer Matt Taibbi reported. "A 2009 preliminary investigation of insider trading by Goldman Sachs was deleted, along with records for at least three cases involving the infamous hedge fund SAC Capital," Taibbi continued.

According to a [nextgov.com](#) article, the National Archives and Records Administration (NARA) is now attacking the SEC amidst the reports that the agency did in fact delete thousands of files on financial institutions under scrutiny.

NARA announced in a statement that the SEC had not forged an agreement with it on a timetable for deleting the information, and under federal records laws, "because a NARA-approved disposition schedule did not exist for these records, the SEC did not have authority to dispose of them."

Nextgov.com reported that in 2010, NARA started working with the SEC to stop the unlawful destruction of documents called the Matters Under Inquiry files (MUI). "NARA remains concerned that the SEC has been slow in creating records schedules for review and approval by the Archivist of the United States that will ultimately determine how long these MUI records need to be retained," the administration stated.

According to the *Rolling Stone* article, the SEC's practice was to destroy MUI records after their investigations were shut down. Some of the MUIs that were destroyed included information from the Bernie Madoff Ponzi scheme and a 2002 inquiry into fraud at Lehman Brothers.

Taibbi, from the *Rolling Stone*, contacted the SEC and spoke with John Nester, SEC spokesperson. Nester didn't deny any of the allegations made by Flynn and, in referring to the length of the document destruction, Nester stated that it had been happening since "at least the early nineties," and that he couldn't be sure it hadn't "always been the policy" to destroy documents.

A Matter of Record...

1917—The Wyoming State Flag

A white bull stands in the middle of a blue rectangle with a border of white and red. The red border symbolizes the Native Americans and the blood shed by the pioneers while settling the area. the white stands for purity and integrity, and the blue for faith and justice. The state seal appears on the buffalo. A draped figure of a woman in the center holds a banner with the words "Equal Rights," which symbolizes political equality. Two men represent the state's livestock and mining industries. Wyoming became a territory in 1869 and a state in 1890 - both dates appear in the state seal. The flag was adopted on January 13, 1917.



Preparing for the CRM Examination - A Handbook**Institute of Certified Records Managers****October 2007****Section 3 - Sample Examination****FACILITIES, EQUIPMENT, SUPPLIES AND TECHNOLOGY**

1. A _____ is a photographic information carrier that contains highly miniaturized document images.
 - a. negative
 - b. microform
 - c. slide
 - d. disk
 - e. file

2. The most common microfilm width used for business documents is _____ mm.
 - a. 48
 - b. 105
 - c. 35
 - d. 42
 - e. 16

3. In micrographics, _____ equates to image sharpness.
 - a. reduction
 - b. density
 - c. resolution
 - d. enhancement
 - e. duplication

4. When evaluating copier vendors, which of the following should you expect when purchasing a customer maintenance agreement?
 - a. training
 - b. lease fees
 - c. downtime
 - d. free toner
 - e. free upgrades

Answer Key: 1) b 2) e 3) c 4) a



Ten issues of our newsletter is published each year. We welcome photos or articles you may wish to contribute. Contact us at www.armawyoming.org.

Note: Contributions or gifts to ARMA are not deductible as charitable contributions for federal income tax purposes.

Websites of interest:

For Weather Information:

<http://www.weather.com>

For Wyoming Road Information:

<http://www.wyoroad.info/index.html>

For Wyoming Facts of Interest:

http://wyoming.gov/state/wyoming_news/general/general.asp

To check out other ARMA Chapters:

<http://arma.org/chapters/index.cfm>

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To our Members and Colleagues: