

“We Stand On the Shoulders of Giants”

Production Editor: Christopher Reilly

Northeast Regional Conference

The ARMA NE Region Conference was held at the New York Life Building in New York City on May 13th and 14th through the generosity of chapter member, Jason Stearns. The conference was attended by ARMA NNJ President, Kathleen Timothy; Webmaster, Murez Sandy; Secretary, Tony Abbate and Vice President of Programs, Ilana Lutman.

ARMA International President Elect, Galina Datskovsky, was in attendance and presented on GARP taking feedback of the chapter leaders to ARMA HQ. Dale Mask of Alliance Training and Consulting ran an engaging project management session on project TEAMs –

Together
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More

The presentation on SharePoint highlighted that proponents of technology are well versed in the vocabulary of Records and Information Management and use such terms in their architecture but they still may not address the functional responsibilities of Records Management.

The chapter leadership sessions were about running a chapter, from conducting a board meeting to financial organization. The million dollar question arose: How can chapters do more with less and how to attract new members. While there were no magical answers it was encouraging to hear other chapter leaders discussing these and other issues. We realized that our chapter is not alone in facing these challenging issues. We also realize the untapped potential of our existing members – this is what we need to explore.

(See “Photos” on page 4)

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Records and Information Management Useful Websites

There are some outstanding resources available online that records professionals can take advantage of. Whether you are looking to find some quick information for work, studying for CRM exams or you just want to keep up to date with the latest news and industry trends there are a wide variety of websites that offer articles, seminars, blogs and other sources of info. I am listing just a few of the many websites I’ve found useful and will continue to list more in the future. If anyone has come across any other records websites they found to be useful or informative please let me know and I will be sure to include it in future listings.

(See “Useful Websites” on page 4)

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Photos Of ARMA Northeast Region Conference



Galina Datskovsky presents at the ARMA Leadership Meeting.



Region Manager session.



Teamwork session.



Dinner Meeting later that evening.

Contacting the ARMANNJ Board of Directors:

We recognize that our Chapter Membership and Non-Members may have wonderful ideas for an Event, a Chapter Meeting or may desire to reach out to the board on other matters. We encourage your communication.

Each Board Member may be contacted directly on any matters relating to their function.

All other matters, please direct all communications to the chapter secretary, Tony Abbate:

recordkeeper@armannj.org

To contact us, [click here](#) to visit our Leadership Page.

President's Corner

By Kathleen Timothy



Time does fly when you're having fun! This is the final edition of ARMAzing News for the 2009-2010 program year. In addition to the quality programming that we've brought our members, the board has focused on improving and assuring the governance of chapter operations, its alignment to ARMA HQ and ensuring transparency in all of its dealings. I am proud and feel privileged to have served the chapter this past year and look forward to the continued vibrancy and active engagement of our members.

It is a very busy time for the board with chapter elections coming up, several awards to qualify and submit application to and last but not least the celebration culminating 50 years of the incorporation of the chapter. For it's half century we can reflect on many highs of the chapter, like the Edison Project and there have been a few years of lows where it seemed we were treading water. Even in this tough economic climate, and a slight decrease in membership, the chapter has been able to continue its tradition of support to the education of RIM principles through the scholarship program. Despite these challenges we look forward to continued advocacy, education and leadership development for RIM professionals.

We are looking for nominations for Chapter Member of the Year. If there is anyone you feel has exemplified the mission and vision of the chapter by their active participation in and contribution to the chapter, leadership engagement and mentoring activities, I'd like to hear from you. Please send your nominations to president@armannj.org.

I am looking forward to seeing you on June 16th at the 50th celebration meeting.

ARMA.org - All ARMA members should already be aware of the ARMA International website they can access with their registration. There is a tremendous amount of information that gets updated frequently. Click on the resources and publications pages for access to news, standards, web seminars, archived Information Management magazines, blogs, podcasts and more. Sign up for update emails because new seminars and information get added all the time.

[ARMA Chapter Websites](#) - Check the ARMA NNJ website for past newsletters, current records management news feeds as well as schedules for upcoming meetings and seminars. Many other chapters and region websites also have past newsletters and other sources of info that can be reviewed. I found some very informative newsletter articles and links to other resources on local chapter's websites when studying for CRM sections.

[Records Management Vendor Whitepapers](#) - A large number of records and information management vendors provide sponsored whitepapers on their websites. Iron Mountain, TAB, NextPage and OmniRim are just a few of the many companies that include whitepapers on their websites. They cover current topics on best practices, cost saving, strategies and solutions. One thing to keep in mind is that users are often required to provide contact information before they can access or download the content. I've included a link to a section of the ARMA website which has a list of whitepapers but many more can be found by searching for the specific topics you are interested in.

[State and Federal Government Websites](#) - State and federal government web pages are an excellent resource for finding information on general retention schedules, standards, regulations and government records management news. These pages have links to useful directories, and other resources.

(See "Useful Websites" on page 4)

[Inside the Records Room](#) - Ray Davis, President of the Liberty Bell Chapter was a guest presenter for our chapter last year. He is the host of a records management radio talk show and podcast dedicated to the promotion and education of the field. Ray and his Co-host, Jeff Glover cover a wide variety of records topics, interview guests and provide reviews of their picks for records book of the month. His website is set up with recorded shows going back to 2007 which can be played back. The highlights of each show are included so you find a specific topic you are looking for using the search feature.

Secretary's Corner

By Tony Abbate

A motion was made to send \$342.00 to the ARMA NE Region in response to their request of a \$3.00 per chapter member assessment to help promote the objectives of the NE Region in support of local chapters. The \$342.00 equates to our current membership of 114 members. This motion was made by Kathleen Timothy and seconded by Tony Abbate. The motion was approved by a total of nine (9) yes votes and two (2) abstaining.

A presentation of Honeywell's Approach to a Digital Conversion Process supported by ICM Document Solutions, incorporating Honeywell's Record Management Policy was made on April 28, 2010 at the Woodbridge Hilton, in Iselin, NJ. The meeting attended by a diverse audience of member practitioners and suppliers.

The research paper "Standards in Electronic Records Management: A survey of records managers to determine the relevance of and the guidance provided by ISO 15489:2001 & DoD 5015.02-STD" prepared by student member, Narita Maraj, and presented to the ARMA NNJ Chapter will become the first of its kind in our chapter library. The support Narita received from the Chapter's members who responded to her survey demonstrates the vitality of our membership reaching beyond what is to what could be.

Library Corner

ARMA Salary Survey 2009

By Scott Bowker, CRM

ARMA NNJ Chapter Librarian

In early May, ARMA released a summary of its 2009 Salary Survey. 1379 ARMA members (416 men and 950 women) responded to the survey, which asked for status on certain questions as of August 31, 2009.

What is your base salary?

The median base salary is \$65,000.00 with men reporting \$72,000.00 and women \$62,000.00.

What is your job title?

The survey provided a listing of 13 titles, from Records Clerk to Executive Officer, with two categories for Consultants (self-employed or employed by a consulting company). The median base salary ranged from \$30,100.00 to \$116,500.00. Here's the data for the top 5 job titles:

- 480 RIM Managers reported a median base salary of \$73,300.00
- 165 RIM Directions reported a median base salary of \$88,500.00
- 165 RIM Supervisors reported a median base salary of \$58,000.00
- 159 Records Coordinators/Specialists reported a median base salary of \$50,000.00

68 Records Analysts reported a median base salary of \$47,200.00

Where is your job located?

Of the 30 metropolitan areas categorized for this preliminary data report, our area (New York/Northern Jersey/Long Island) had the highest number of respondents. The median base salary in our area was

reported as \$90,500.00. The highest median base salary was \$91,900.00 for the Cincinnati/Middletown (OH/KY/IN) area and the lowest was \$51,000.00 in the Boise City/Napa (ID) area.

The full survey is expected to be published in Spring 2010. The full summary is currently available on arma.org.

ARMA Scholarship Winner

A RMA NNJ is proud of its strong tradition of supporting RIM education and awareness for more than a decade, through its scholarship program. Our scholarship winner for the 2010 is Matthew Gorham. Please read his winning essay in this edition of the ARMAzing News. The scholarship committee is chaired by Frank Menci with the assistance of committee members Seth Beim, Carol Mullen and Angel Ramos. We thank them for their service and extend congratulations to this year's winner, Matthew Gorham.

Term Paper: The Benefits of a Records Management Program for a University

Introduction

Gorham State University is a major public research university located in the eastern United States. It is known for its rigorous academic standards and its significant contributions to research in the sciences, humanities, and other fields. It boasts a large and diverse student body and a top-notch faculty. The University's rich history has made it a topic of great interest for historians and other researchers. Currently, Gorham State is facing the prospect of significant cuts in funding due to the economic recession. For this and many other reasons, administrators at Gorham State are strongly considering the establishment of an institution-wide records management program. To help make a final decision on the matter, Gorham State has hired a consultant with expertise in the records management field to provide counsel on the development process of a records management program, and persuade members Gorham State's faculty

and staff who are skeptical of the value of a records management program.

With this in mind, this paper will outline how a records management program would benefit Gorham State University. It will discuss the specific benefits that a records management program would provide to Gorham State, the components of a records management program and the steps involved in developing the program, the four values of a record, as well as an analysis of a records management program policy developed and implemented by an institution similar to Gorham State.

The Four Values of a Record

Before discussing the benefits and components of a records management program, it is appropriate to discuss the four values of a record, as the emphasis that an organization puts on each of the four values will influence the policies and procedures in its records management program. What follows is a listing and an explanation of the four values of a record, ranked in order of greatest importance to least importance, as they apply to potential records management procedures at Gorham State University:

Legal – Records have a legal value when they are needed for compliance with regulatory requirements, or when they may be pertain to ongoing or potential litigation. Being a public institution for higher learning, Gorham State University is subject to regulation from many government agencies. Many of these agencies dictate that certain documents be retained for a specific period of time. Such requirements could be part of the terms of a grant, which may dictate that certain documents pertaining to the performance of a grant be kept for a specific period of time. Regulatory agencies such as the Pell Grant Program and OSHA may also require certain documents to be retained for a stated period of time. Statutes of limitation are also a concern. Though statutes of limitation do not necessarily dictate the length of time that records need be retained, they do dictate the amount of time during which a party may sue another party. With this in mind, an organization may want to maintain certain records that it may use to defend itself if it is sued by another party. Finally, an organization should never destroy records if a party is engaged in litigation against it. Furthermore, a sound records management policy may help an organization defeat a

(see Scholarship Essay page 8)

Each year at this time ARMA NNJ recognizes members who have been with us for 5 years or longer.

Below is a list of our latest honorees....

Congratulations to ARMA NNJ members who have been with us for so many years!

Member Anniversary Recognition

MEMBERS	Company	Years of Membership
Mary Lou Cirianni	Sanofi-Aventis	5
Valerie M. Harris	Honeywell International, Inc	5
Constance J. Kaplan	Gibbons P.C.	5
Anne Kneller	Telecordia	5
Traves McCabe	Johnson & Johnson	5
Mark J. Pizza	County of Monmouth	5
Murez Sandy	Honeywell International, Inc	5
Chris Sengos	Plasmon US, Inc	5
Shanti Subramaniam	CDI Corporation	5
Jennifer Anderson	Merck & Co.	10
Frank Menci	J&J Healthcare Systems	10
Mary Bogart	Lowenstein Sandler	15
Karen Terpe	All-State International Inc.	15
Kathleen Timothy	Honeywell International, Inc	15
Michael Lenhard	M3 Holdings LLC	20
Michael Zampella	Merck & Co.	25
William F. Lynch	University of Nebraska-Lincoln	30

lawsuit if it establishes that records have been destroyed according to an official, objective policy (Oakland University, 1999, pg. 2).

Administrative – Records have administrative value if they are needed for current operations of an organization. In an institution as large and complex as Gorham State, there are going to be many different kinds of records with high administrative value. These include student records and transcripts, personnel files, admissions forms and applications, grading documents, budgetary documents, etc. To ensure productivity and efficiency, a records management program should be designed to ensure easy access and use of administratively valuable documents for whomever may need to consult them.

Fiscal – A document bears fiscal value if it documents financial transactions that are necessary for tax and audit purposes. Examples include payroll documents, tax forms, account books, etc. A records management program should contain clear guidelines for the retention and disposal of documents that carry fiscal value, as non-compliance with tax law, financial regulatory requirements, and audit procedures can be costly and damaging to an institution (Oakland University, 1999, pg. 2).

Historical – A record has historical value if it documents a significant event, policy, procedure, activity, or person who might be of interest to researchers or which the university would want to save and preserve in order to document its own historical legacy (Oakland University, 1999, pg. 2). Gorham State University has a long history as an institution of higher education, and the achievements of its faculty, administrators, and students over the years have been documented by historians at both the local and national level. Some examples of documents that might have historical value include correspondence of faculty members or administrators, faculty research materials or manuscripts, records of student organizations, photographs of the university over the years, etc. Though the historical value of a record is placed last in terms of importance on this list, it shouldn't diminish the importance of retaining records for historical purposes. For better or worse, the economic benefits of a records retention program will have the most immediate positive impact for Gorham State

University, and so the three aforementioned values of a record carry greater weight because of their potential to save money for the university.

The Benefits of a Records Management Program

A records management program offers numerous benefits to any organization. The following are the beneficial outcomes that a well-designed and properly implemented records management program would provide to Gorham State University:

Space – In an organization with no records management program, it is estimated that between 30 and 60 percent of its records are either inactive or semi-active and should either be destroyed or moved from the main office space to a lower-cost off-site storage facility (Robeck, Brown, and Stephens, 1995, p. 9). By implementing a records retention and inactive records storage program, an organization could free up expensive office space for more valuable use, or be enabled to move to a smaller, lower-priced office space if so desired.

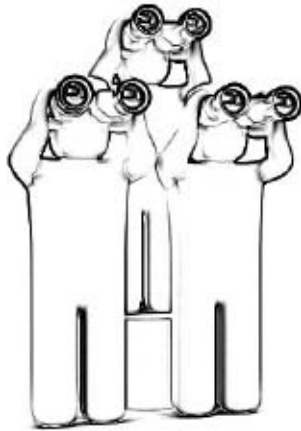
Greater efficiency and productivity – In an organization with a poorly designed or implemented filing system, time and money can be wasted when workers spend their time looking for lost or misfiled records, or when documents aren't found or produced at a particular time when they are needed. An effective records retention program can mitigate these problems by making filing systems orderly and documents easily findable and accessible.

Compliance with regulatory requirements – Like many other large institutions, Gorham State University is subject to oversight from many different local, state, and federal regulatory bodies. Many of these agencies dictate the retention of certain documents for a specified period of time. A records management program can identify the types of documents that need to be saved for regulatory purposes, and provide instructions for retention periods and disposition procedures (Robeck, Brown, and Stephens, 1995, p. 9).

Compliance with legal requirements – Like any other

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large institution, Gorham State University could be subject to litigation or legal subpoenas. A records retention program ensures that documents requested as part of a lawsuit or subpoena can be found in the amount of time dictated by the legal proceedings in question. Furthermore, if the requested documents have previously been disposed of, evidence of a systematic, methodical records retention program could absolve Gorham State from any wrongdoing that it might otherwise be guilty of by disposing of the records (Robeck, Brown, and Stephens, 1995, p. 10).

Protection of vital records – The loss of records and information that are vital to an organization's operation can be crippling. An effective records management program includes as one of its components a plan to protect and preserve those unique and irreplaceable records that are necessary to keep an organization running in the event of a natural or man-made disaster (Robeck, Brown, and Stephens, 1995, p. 10).

Cost controls – As should be clear by now, a records management program helps an organization save money and/or avoid potentially costly expenses. Cutting down on storage space, cutting down on the time needed to find files, and increasing efficiency and productivity in other areas can help an organization to save significant sums of money. Being able to comply with regulatory requirements and potential legal sanctions in a timely manner, and protecting vital records will help an organization to avert potentially significant expenses if faced with certain situations. All in all, a records management program is good for the bottom line of any organization.

Components of a Records Management Program and their Necessity

An effective records management program has 8 major components, and all of them are needed in order to make the overall program function smoothly. The components of the program and an explanation for the necessity of each are as follows:

Records management policy – An official records management policy makes a records management program credible and authoritative, and assures proper compliance and accountability by outlining the responsibilities and duties of all stakeholders in an organization to whom the program applies. A records

management policy should include the following elements: a statement of the program's purpose; a universal statement of responsibility; program objectives; and a statement of records management responsibilities. The policy should be developed by a records manager in consultation with an organization's senior managers, legal staff, and representatives from all major departments responsible for records production and records management (Robeck, Brown, and Stephens, 1995, p. 18).

Records survey and inventory – Before a records manager consults with stakeholders in an organization and develops the framework for a records management policy, he should conduct an organization-wide records survey and make an inventory of all records. A records inventory consists of a comprehensive list of all records in an organization, with necessary background information on them. It identifies the records, their location, their function, and their quantity, and provides the information that will form the basis of a sound records management policy. After surveying an organization's records, a records manager should be able to assess the number of duplicate records that exist, the level of usefulness of different types of records, and the legal implications of different types of records (Robeck, Brown, and Stephens, 1995, p. 11).

Records retention schedule – A records retention schedule outlines an organization's official policy for the retention and disposal of records. It identifies records that must be maintained for business purposes, as well as a deliberate and methodical approach to the destruction of records that are no longer useful to an organization. A records retention program assures that retention and disposal practices are carried out as a regular part of business activities, instead of subjectively or arbitrarily. A records retention program is necessary primarily for economic and legal purposes. Economically, a records retention program establishes an equilibrium between the creation and destruction of records, thereby assuring that valuable office space is not taken up by useless records, and that productivity isn't hampered by the need to look through volumes of superfluous records in order to find a single needed one. Legally, a retention schedule is necessary due to the hefty fines that can be levied against organizations that have unlawful, irresponsible, or even non-existent retention policies. A sound records retention policy serves as proof to the government that an organization retains and disposes of records in a lawful manner (Robeck, Brown, and Stephens, 1995, p. 42-44). In addition to legal and economic necessity, a records retention program also serves a

(see Scholarship Essay page 11)

significant historical function by dictating what records are historically significant, and should therefore be retained for archival purposes.

Active and inactive records management – Active records are those records that are used or referred to on a regular basis, and which thus need to be stored and maintained in a central office location where they can be easily accessed and consulted. Inactive records are those which have lived out their immediate administrative purpose, and which should thus be either destroyed (in compliance with the records retention policy) or transferred on an off-site storage location. Much like a records retention program, an active and inactive records policy provides economic benefits by making sure that office space is not unnecessarily used for records the storage of useless records. An active records management program should consist of a well-organized classification and filing system, an ideal physical location of records within an organization's office space, and an ideal storage medium for the active records (Robeck, Brown, and Stephens, 1995, p. 12-13). Inactive records should be moved to a safe, secure off-site location equipped with a climate control system that will ensure proper preservation of the documents. A well-organized filing schema should be maintained for these documents so that they can be accessed and consulted with as much ease as possible (Robeck, Brown, and Stephens, 1995, p. 14).

Storage – The equipment used to store records and the methods in which they are stored will greatly determine the effectiveness of a records management program. The storage of records should promote efficiency of filing, easy access and retrieval, ease of transfer and disposition, and the safety and preservation of documents. Many factors influence storage equipment decisions, including compatibility with the size and type of records to be stored, concerns for storage space, security, employee comfort, and of course, cost (Robeck, Brown, and Stephens, 1995, p. 161-168). Guidelines for the storage of both active and inactive records should be included in an overall records management policy statement, and though the storage needs of each records producing will no doubt be different, every effort should be taken to ensure that all departments adhere to basic standards in regard to their storage methods and decisions made about storage equipment. The records manager should ultimately oversee all matters concerning records storage, and work with representatives from all records producing units to determine needs, best practices, and appropriate storage equipment.

Vital records protection and disaster recovery – As previously stated, a vital records protection and disaster recovery program serves to protect and preserve unique records that are necessary to ensure the proper functioning of an organization and/or continuity in the event of a disaster. The identification of vital records should be an integral part of a records inventory and records retention program, and a records management policy must include plans for the storage, protection, and preservation of vital records and their facsimiles. In addition to establishing procedures to prevent disasters, a vital records protection plan should also contain guidelines for the possible recovery of vital records in the event of a disaster that destroys or damages them. Many aspects of a records management program, including retention schedules and storage requirements, will be affected by concerns for vital records protection and disaster recovery.

Forms Management – An effective records management program will include a forms management component as a part of its overall policy. For the uninitiated, a form consists of a standardized document that contains fixed fields into which data is entered. A forms management program should be overseen by the records manager, and should have the authority to approve or disapprove any forms created or purchased by records producing units within an organization (Robeck, Brown, and Stephens, 1995, p. 14). Of course, an institution like Gorham State is going to require many different kinds of forms for different uses in different departments with a plurality of needs. The records manager should work closely with representatives of all departments to develop policies for form management that achieve the administrative and record-keeping needs of individual departments and personnel, while also making sure that any forms used conform to applicable legal or records retention requirements.

Training – Once all of the components of a records management program are in place, all members in an organization should undergo training in its policies and procedures in order to ensure compliance with the program and the understanding of records retention and disposition policies. A broad training manual should be created for employees to refer to, and department level training sessions should be lead by the records manager. Specialized training should be provided for records producers and those responsible for managing retention and disposition at the department level. Training should also be catered to the needs and responsibilities of each department.

Case Study:

Oakland University's Records Retention Program

Oakland University, located in Rochester Hills, Michigan, developed its own records retention and management program in 1999. Because of its similarities to Gorham State as a large, well-known public institution of higher education, an examination and analysis of its program would be informative and helpful as Gorham State embarks on developing its own records management and retention program.

In the introduction to the program, only three of the values of a record are discussed as its guiding principles: legal, administrative, and historical. It seems somewhat odd and perhaps irresponsible to not emphasize the importance of retaining records for their fiscal value, given the stiff penalties that the university could suffer if it failed to fully comply with tax and audit procedures. However, the policy is strong in its reasoning for why the other values of a record are important. It outlines the legal reasoning for retaining certain records as a means of defense against potential litigation, in addition to advising against destroying any relevant records during an ongoing litigation period. It also clearly elucidates the benefits of retaining records for purposes of historical documentation and administrative efficiency.

Upon closer examination of the records retention policy itself, it is evident that much time and effort went into its development, and that it was created to serve the diverse needs of the university's many departments and the different types of records they produce. Within each department, the different offices of that department are listed, and under each office, the types of records it produces and their required retention periods are specified. For example, the Office of the President is broken down into five sub-departments: the President's Office, University Diversity & Compliance, Governmental Relations, Office of Equity, and Secretary – Board of Trustees. Under each of these sub-departments, the types of records produced and their required retention periods are listed.

For some documents, records retention periods are specified according to historical value (for example – President's Office, "Executive Correspondence", retained 10 years and transferred to University Archives), while others seem to be retained for statute of limitation purposes (for example, under Office of Equity, student and staff complaint records are retained for seven years and then destroyed, presumably in keeping with statute of limitation regulations pertaining to litigation). Elsewhere in the policy, one can see examples of records with short retention periods due to the fact that they have limited long-term administrative value, such as the time cards of Facilities and Operations employees (3 year retention period). Even though the fiscal value of a record is not explicitly stated in the overall policy, under the Office of Controller, the required retention period for tax returns is "current year plus 7 years", which would likely conform with any IRS auditing requirements. All things told, the records retention and management program of Oakland University is an example of a very sound and thorough policy, and one that Gorham State University could use as a model when developing its own records management program.

Conclusion:

As this paper demonstrates, a records management program has the potential to provide numerous benefits to Gorham State University. Not only does such a program save money and increase efficiency and productivity, it also saves office space, protects vital information, and ensures compliance with regulatory and legal requirements. By using the four values of a record as its guiding principles, implementing all of the 8 vital components of a records management program, and using the successful policies of similar institutions as a model, Gorham State University can and should develop a records management program that will help it to thrive well into the future.

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"We Stand on the Shoulders of Giants"