A new year means big changes and a new direction for the ARMA Chicago Chapter. As your new president, I am excited to help usher in the 2017-2018 program year and work to provide exciting and engaging opportunities for you, our members. First, a bit about me:

I currently work as the Assistant Director of Records Management at DePaul University, where I help to manage the university’s electronic content management software and provide training and resources for users who utilize our services. I have been lucky to call DePaul home for the past three years, and am happy to have been involved in ARMA’s Chicago Chapter during that time. ARMA has been a wonderful resource to me as my RIM knowledge has grown, and this year’s board members and I hope to offer that same level of growth and development to each of you this coming year.

I am looking forward to introducing the new board members for this year, and look forward to our chances to connect with each of you individually. As the board begins to plan our events and meetings for the year in the next few days, we invite you to share any ideas or feedback you have as it relates to our chapter. We count on your support to continue offering quality educational programs, and your involvement is vital to our success.

I look forward to jumping into the new year with you. I know that we will create exciting educational opportunities and strong connections with one another. Until then, have a great summer!
In the Loop - Volume 2 - Issue 3

As I handed over the President's gavel to Nate Pauley, incoming Chapter President, at the swearing-in ceremony in June, I thought about what an honor it was to be President of the Chicago Chapter. It was a lot of work with a lot of reward. I was happy to lead for a year, and happy to hand over responsibility when the year was done.

Highlights of the year:

- The interesting programs planned by our Education committee. We had higher attendance than last year at a majority of our meetings, thanks to their work in lining up relevant topics and speakers.
- The Spring Seminar at Sears Tower - a great venue and program, also with increased attendance over last year.
- The newsletter - back after a hiatus. An record of our chapter activities that helps us keep in touch.
- ARMA National in San Antonio - meeting chapter members I had never met before, at the Chicago networking event.
- Significant new participation in chapter leadership and committees by members. The Education committee, Membership committee, Community Service committee, Library, and Newsletter all benefited from first-time participants who led or planned chapter activities.

CRM and CRA certification training - a new offering by the chapter, an important contribution to continuing education in our field that drew people from a wide geographic area.

As I think back over the events that I attended or helped plan, what occurs to me is that there were different people at different events - some are regulars at chapter meetings, others took advantage of more in depth training at the Spring Seminar, at ARMA International, or the CRM/CRA training. Some of our experienced chapter members had the opportunity to be speakers, panelists, or trainers at our various events, passing on their knowledge. Our chapter truly does offer something for everyone.

Thanks to our board and committee chairs and member for all the hard work. Thanks to our awesome Chapter Admin Kathy Daloia, who is a pleasure to work with and also makes sure we get our government and ARMA International paper work filed on time (among many other duties.) Thanks to our Business Partners who helped make all this possible. And thanks to everyone who attended our events, and I look forward to seeing you somewhere along the way next year.

Laurie L. Gingrich, CRM
Chairman of the Board

Please welcome our newest members to the ARMA Chicago Chapter!

Steven Long
Margo Eckstein - Redgrave
Sue Watson - Discover
Keith Olenik - Olenik Consulting Group
Andrew Rukowski - TransUnion
TaTonya Togue - Dept. of Veteran Affairs

Stephanie O'Driscoll - Latham & Watkins
Vera Parker - KL Gates
David Kenny - Caterpillar
Ryan Tilot - Seyfarth Shaw
Dawn Fredyrk - Coordinated Construction Project Control Services

We look forward to seeing you at meetings and networking events this year!!
Let R4 be your company’s information manager...

Call today!
888-SEE-FILE
773-843-3900
Chapter Library: New Librarian, New Location!

The ARMA Chicago Chapter Library has a new home and librarian. The collection is now housed at McDermott Will & Emery, 444 West Lake Street, Chicago, IL 60606-0026 and maintained by Information Governance Analyst, Justin Robak, at McDermott Will & Emery. The new location is easily accessible from Ogilvie Transportation Center as well as the CTA Green, Pink and Blue Lines.

Overall, the Chapter Library contains a well-rounded collection of texts covering a range of topics on governing information. To highlight a few areas, the collection contains materials on topics such as Records Management, Imaging, E-mail Management, Record Storage and Knowledge Management.

For example, the following three books were recently added to the collection:

- **Safeguarding Critical E-Documents: Implementing a Program for Securing Confidential Information Assets** - Robert F. Smallwood

  Timely and relevant, Robert F. Smallwood demonstrates how to keep internal documents from getting into the wrong hands and weakening your competitive position, or possible damaging your organization's reputation and leading to costly investigations.

- **Records and Information Management** - Patricia C. Franks

  This book provides a comprehensive, strategic approach to the creation, management, and disposition of information and records in organizations and is the first to analyze the impact that cloud computing and emerging technologies such as social networks and microblogging has on records management programs.

- **Project Management for Non-Project Managers** - Jack Ferraro

  This book demystifies the jargon and processes, encouraging managers to jump into the PM arena and arming them with strategies for increasing the business value created by their company’s projects.

You can check-out any book the library carries by filling out this check-out form. For a complete list of the library’s current collection, please click here.

For borrowing requests, suggestions for additions to the Library collection and any other questions or concerns, please contact Justin Robak at jrobak@mwe.com.
Certified Records Analyst Study Session at the Spring Seminar

As part of this year’s Spring Seminar, chapter Certified Records Managers (CRMs) Jean Ciura, Maryann Reandeau, and Joe Suster hosted a study session for aspiring Certified Records Analysts (CRAs). The nearly three-hour session featured slides, handouts, and robust discussions regarding the three parts of the six-part CRM examination that must be passed to attain certification as a CRA: Part 2 - Records and Information Creation and Use; Part 3 - Records Storage, Retrieval, Conversion, and Facilities; and Part 4 - Records Appraisal, Retention, Protection, and Disposition. While it was anticipated that session attendance might be sparse due to low early registration, the presenters were delighted to see a room full of eager attendees waiting for them, many of whom had filtered in after attending the seminar’s morning presentations.

There was no shortage of questions for the presenters concerning the session’s content and attendees seemed to like the “pre-test” and “post-test” question format featured in each of the three Power Point presentations. From the feedback received after the study session ended, participants enjoyed hearing different points of view about “what was a (test) question really asking?” The session also provided them with an opportunity to meet and network with other records managers seeking either CRA or CRM status.

Our chapter remains committed to providing study opportunities, such as this one in May, for the benefit of the local records management community. If you have comments or suggestions on how to improve the chapter’s outreach and assistance to CRA and CRM candidates, please share them with either Jean, Maryann, myself, or one of the chapter’s board members. We welcome fresh ideas on how to better serve your career goals.

Joseph Suster, CRM
Chapter Secretary

Connections in Context

ARMA and KM Summer Networking Event

It's an ARMA Chapter tradition - our summer networking event, a chance to get together informally to chat and have fun. This year ARMA CHICAGO and KM Illinois Chapter co-sponsored a free summer after work get together at Bin 36, which we have done for several summers. The goal is to provide an open event for colleagues across the professions of records management and information governance, library and information science and archives, and knowledge management to gather and network. The event was a success - a group of about 30 professionals were able to spend a few hours together at Bin 36 after work, chatting over appetizers and drinks, on a beautiful Chicago evening. It was a chance to talk about similar issues in our related fields, as well as get acquainted with new members in our own chapter who had not had a chance to meet yet.

We have a diverse chapter in terms of industries and job titles, and throughout the year, the ARMA Chicago board seeks to present a mixture of activities for professionals at all stages in their careers, relevant across industries. Keep your eye on the calendar in our website, armachicago.org, for chapter programs, training sessions, seminars, and networking events, as the 2016/2017 ARMA program year kicks off September.
Locally Owned. Locally Managed.
100% Dedicated to Our Customers.

Chicago Records Management is one of the country’s most trusted names in
document storage and compliance.

Record Storage
Media Storage
Online Backup
Document Imaging
Content Management
Document Destruction

847-678-0002
WWW.CHICAGORECORDS.COM
Seven Things
Records Destruction Vendors are Afraid to Tell You
Robert (Bob) Johnson

Information management service providers are often presented with a dilemma. On one hand, they have to give customers what they want. There are many competitive options out there, and service providers need happy customers. On the other hand, they have (or should have) considerably more experience and training than their typical customer and sometimes know that what a customer wants isn’t prudent.

The secure and compliant solution [for the proper disposal of confidential or regulated information] is to remove employee discretion from the equation by destroying all discarded media.

Faced with this conflict, most service providers do not speak up for fear of offending a current or potential customer. They feel it is far less dangerous to just agree; it is difficult to tell the emperor he has no clothes. The unfortunate side of this is that customers remain unaware (or in denial) about factors that put them at risk.

Here are seven things organizations should know that secure destruction service providers want to tell them - but probably don’t.

1. Don’t Depend on Employee Compliance

“Quit letting every employee decide what information needs to be destroyed.”

The typical data destruction program falls into two main categories:

1. The organization places a bunch of shredders around, instructing employees to use them to destroy confidential or regulated information.

2. The organization hires a service to destroy confidential and regulated information, instructing employees to place it into some type of secure collection container.

The common problem with both programs is that they rely on employees’ discretion and discipline. If they forget or ignore their responsibility and instead put this information – on paper or on electronic media, such as thumb drives, handhelds, and laptops – in the trash or recycling bin, the information is at high risk for exposure and, depending on the information, the organization could be in violation of regulatory mandates.

Frankly, it makes no sense to give every employee the capability to put the organization’s reputation, compliance, and profits at risk in this manner. No organization would consider giving every employee the discretion to bypass its firewalls, so it should not give them the discretion to undermine security, compliance, and client trust because they are too busy, too lazy, or too apathetic to properly dispose of protected information.

The secure and compliant solution is to remove employee discretion from the equation by destroying all discarded media. Given the relatively low economic commitment, especially compared to the cost of the potentially devastating consequences, destroying all discarded media is the only sensible choice.

2. Destroy All Media When It Is Time to Discard It

“You should have the same consistently high standards for the destruction of all types of media.”

Destruction methods vary for each type of media, as does the oversight of each destruction process. For instance, stored paper records usually fall under records management’s responsibilities, while the destruction of the daily flow of incidental records (e.g., paper, thumb drives) out of the organization is often considered a facilities management issue. And, when information technology (IT) assets, such as old computers or other IT hardware, are discarded, it typically falls to the IT department.

Data destruction service providers, who handle all of these forms of media in the course of their operations, often find customers are extremely conscientious about securely disposing of some forms of media but completely negligent in disposing of others. It might be that stored records are destroyed responsibly, while the daily, real-time, confidential materials are just tossed out with the trash, and computers containing information that should be protected are sent to a scrap recycler with no thought at all about the data on them.

The fact that one department treats information disposal responsibly establishes that the organization realizes its

(Continued on next page)
Seven Things
Records Destruction Vendors are Afraid to Tell You

Robert (Bob) Johnson

legal responsibility and exhibits acceptable behavior. So, when another department within that organization ignores this responsibility, the organization is considered negligent. The solution is a consistent standard for the proper destruction of all media forms under one, uniform, written policy, along with regular monitoring for compliance and enforcement.

3 Get Real About Liability
“You need to align your service providers’ liability with their professional indemnification.”

The liability and damaging consequences of a data security breach are increasing dramatically. Because customers usually are held responsible for the data security breaches caused by their services providers, it has become a best practice for those customers to hold service providers liable for any such damages. By signing a contract that assigns them this liability, service providers accept it. Unfortunately, organizations often fail to ensure that their service providers have the right indemnification in place to cover that liability; that is, they don’t:
1. Check vendors’ liability coverage
2. Understand that vendors’ general business liability coverage is not sufficient
3. Use vendors that have professional errors and omissions liability coverage that is designed specifically to address data-related risks, rather than some off-the-shelf professional liability coverage

This brings up another common customer behavior that should be challenged: attempting to transfer unlimited liability. It is never in the customer’s interest to transfer a liability for which the service provider indemnifies. No service provider can obtain indemnification for an unlimited amount. Since the customer is ultimately only protected to the amount of the indemnification, setting liability higher is only a mirage anyway. Organizations are best protected when contracts set a reasonable amount of liability for service providers and make sure the proper coverage is in place.

4 Take Advantage of Us (We Want to Help)
“Let us do the two simple things that can help insulate your organization from the consequences of a data breach.”

Many data destruction service providers have the capability to provide clients with written procedures and employee training that minimize the impact of a data disposal breach (see number 2 above), and yet most customers don’t take advantage of it. It might surprise readers to know that the regulators enforcing data protection requirements are likely to be more lenient with data breach punishment when an organization has done what it can to secure its data – like establishing data protection policies, procedures, and training – and harsher when it has not; they understand there are some things an organization can’t control.

When the Health Insurance Portability and Accountability Act (HIPAA) was amended in (Continued on next page)
Seven Things

Records Destruction Vendors are Afraid to Tell You

Robert (Bob) Johnson

2009 by the Health Information Technology for Economic and Clinical Health (HITECH) Act, a mandatory fine scheme was created, with the most egregious and expensive violation being for an organization’s “willful neglect” of its compliance requirements. With the associated mandatory fines being increased by 6,000%, the U.S. Department of Health and Human Services (HHS) thought it useful to provide examples of violations rising to this most severe level.

The first example HHS offers describes a situation in which protected health information is discovered casually discarded in a dumpster. An investigation reveals that the offending organization has no written disposal policy and no employee training. In this situation, HHS states, it is not so much the violation that would constitute willful neglect; it is the lack of written procedures and employee training that does.

A breach that occurs because an employee ignores training and violates written policies and procedures places less fault on the organization than one that occurs because the organization did not provide policies, procedures, and training. This is why every data protection regulation in the world — HIPAA and Canada’s Personal Information Protection and Electronic Document Act, for example — requires customers to demonstrate that any service provider accessing regulated information has the appropriate security and regulatory qualifications to do so. One of the ways regulators enforce this requirement is to hold the customer responsible for the actions of those vendors. So, if regulators discover that a data security breach was caused by a service provider that was selected only on the criterion of price, they will find the organization in violation of the law. This requirement to conduct due diligence in selecting a service provider can be challenging because ensuring secure destruction is a very small fraction of the job for the vast majority of decision makers. They simply don’t have the time or wherewithal to learn all they need to know and perform their due diligence by verifying and monitoring the truth of what a service provider has told them.

This is where industry certifications, which were formerly used simply to provide peace of mind, now assume a much more important role. An industry certification issued by a certifying body that verifies and monitors the regulatory compliance of those who earn the certification provides the due diligence an organization would otherwise have to do itself. Therefore, an organization that requires service provider candidates to have that industry certification ensures its own regulatory compliance. Of course, this means organizations have to do their due diligence in confirming and monitoring the validity of the industry certifications they require of service providers. Because organizations are turning to certifications as a way to confirm vendor compliance, many more organizations are offering industry certifications. Some of these are inadequate, issued by organizations that do little in the way of verification; sometimes they require no more than the submission of paperwork and a small fee.

So, while proper certifications can do the heavy lifting on vendor due diligence, organizations must perform due diligence on the certifications themselves to determine which ones they require.

Pay Attention to IT Assets

“You cannot afford to ignore the fact that IT assets are missing.”

When organizations reconcile IT assets being retired from use after they are depreciated, it is not uncommon to discover a significant percent-age missing.

Last year, for example, Coca-Cola notified thousands of past and present employees that their personal information was at risk when IT equipment potentially storing their data could not be located during just such a reconciliation. The most unique aspect of Coca-Cola’s action was that in notifying those affected, the company actually did what it was supposed to do.

In contrast, most companies either ignore missing IT assets or do no reconciliation at all. Should one of those missing IT assets turn up on the second-hand market later, it would create a major public relations and regulatory headache. There is no statutory limitation to this liability; therefore, it exists in perpetuity — like a landmine that could go off at any time.

(Continued on next page)
If an organization does nothing else, it should document the fact that IT assets cannot be found. In an incident report, list the items, the information thought to be on those items, the steps taken to determine the nature of the information, the circumstances surrounding the equipment’s disappearance, and how the situation was resolved, including details about the possible breach notification and remedial steps taken to prevent this type of incident from recurring. By this, the organization can show it reacted appropriately if one of these landmines goes off later. Of course, the real solution is to prevent this situation by better tracking IT assets from acquisition through retirement.

7 Act Now

Organizations that act on these six recommendations that records destruction providers want to give their clients – but don’t for fear of offending them – will ensure both the secure disposal of their protected information and a strong partnership with their service provider. Best of all, taking these steps requires little to no additional cost.

Robert (Bob) Johnson can be contacted at rjohnson@naidonline.org.
Community Service Reminder

Ronald McDonald House Charities

Ronald McDonald House at Lurie Children's hospital is our chapter Community Service focus for 2016/2017. The mission of Ronald McDonald House charities is to care for families of children with complex medical needs by providing comfort, compassion and a sense of community. RMC at Lurie keeps families of hospitalized children together in a ‘home away from home’. Please see below the many ways on how you can contribute to this great cause.

Contact Janet Smith, Community Service Chair, janet.smith@lw.com for more information on how to get involved.

Help keep families close

Financial Gifts
Donations keep our doors open and lights on. It costs $85/night to host a family. Providing 41,000 family nights a year adds up so we need gifts big and small. Find out how you can be recognized as one of our loyal donors in our Healing Hearts Society.

Donate Loose Change
Your spare change provides a lot of good for children and families. Tell your friends next time they visit their favorite McDonald’s to drop their spare change in the donation box located on the front counter and in the drive thru. Every penny counts.

Collect Wish List Items
Make a difference by collecting items that we use daily at our locations. Ask the House for a list of needed items. You can also collect gift cards to grocery stores, gas stations, convenience stores, and local restaurants.

Collect Pop Tabs
If you donate 1,000,000 tabs (790 lbs) you will be part of our “Thanks a Million Club”. Drop off collected pop tabs at any Chicagoland Ronald McDonald House, United Scrap Metal, or at any Great Clips hair salon.

Foundations
Foundations (public, family and corporate) and community-based organizations invest in worthwhile programs and services that improve the lives of others. Share our story and introduce us to such groups to see how they can support our mission.

Leave a Lasting Legacy
Help ensure that the “House that Love Built” will always be here to welcome and care for families and children for years to come. Our team is happy to discuss ways your gift can make a difference in the lives of others beyond your lifetime.

Visit RonaldHouseChicago.org to see all Chicagoland locations and signup for our e-newsletter to get the latest and greatest news!