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2004**

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**ARMA***Adison*

*ARMA**Adison* is published monthly from September through June. We welcome all letters, comments, and contributions from members. Send to:

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**PRESIDENT'S CHATTER**

By Priscilla Jaron

There was some debate on the radio on Monday, March 1, about whether the saying is "In like a lamb, out like a lion," or "In like a lion, out like a lamb." I'm not sure if the announcers ever totally agreed on what it is supposed to be. I think they were predicting that March was going to come in like a lion since they were predicting some thunderstorms, which by the way, I don't think we saw anything really heavy. I heard some thunder, but it didn't last long, nor did the rain. So it looks like March came in like a lamb, and we can expect some bad weather through the end of March. And I am really starting to look forward to spring.

Our Tri-Chapter meeting is on Tuesday, March 9, in Fond du Lac. Be sure to get your reservations in quickly. This meeting will be a panel discussion by three representative utility companies that are somewhere in the process of implementing an ERM system.

The plans for the annual ARMA-Madison Seminar, scheduled for April 20, are well underway. The focus for this year's seminar will be on Privacy and Records Management. There will be several speakers discussing different aspects of privacy. Different this year from other years will be the vendor displays. We have several vendors signed up already. Be sure to stop by to visit with them during the breaks and lunch. The brochures are being printed as I am writing this and will be mailed out early the week of March 8. If you don't receive one by March 15, please contact the Seminar chair, Ana Aquino-Perez, as soon as possible so you don't miss out on this great learning opportunity. Be sure to send in your registration as soon as possible. Information is also available on our chapter Web site.

Our May meeting will be the time to elect our new chapter officers for next year. Our past president, Diane Vultaggio, will be contacting chapter members to see if they would like an excellent opportunity to expand their leadership skills by serving the chapter. If this is something you would like to do, please feel free to contact Diane directly. We have been very fortunate to have many talented individuals in our chapter and several have graciously served in board or committee positions. Sometimes they have done it more than once and we are grateful.

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**February Attendees:** Ana Aquino-Perez, Tim Hughes, Pat Peirce, Rosemary Stark, Mary Boneck, Pam Duane, Ruth Breunig, Lori Ashley, Janet Nelson, Alan Brown, Carol Bura, Tracy Christianson, Harley Dell, Paul Fisher, Michael Grimes, Gary Hewitt, Mike Hilliard, Jim Jeffery, Carol Judd, Jim Just, Doug Keegan, Nancy Kunde, Trudy Lotter, Jean Olson, Thomas Postulka, David Rasmussen, Sheri Rose, William Steinberg, John Sternad, Steven Tate, Karl Wellensiek, Paul Wellner, Patricia Williams, and speakers, John Fons and Ron Kral.

**ARMA MADISON WEB SITE**

<http://archives.library.wisc.edu/armad/armad.htm>

Check the ARMA Madison Web site frequently as new information is posted as it becomes available.

*The information contained in this newsletter does not necessarily reflect the views of the membership or the editor, nor is there any endorsement of ads, seminars, articles, or commentaries intended. Contributions or gifts to the Association of Records Managers and Administrators, Inc. are not deductible as charitable contributions for U.S. Federal Income Tax purposes.*

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**FROM ARMA HEADQUARTERS**

ARMA International’s Washington Policy Brief

This monthly online advisory contains brief summaries of recent legislative and regulatory issues that may affect the records and information management profession. Further information about the issue is accessed by clicking on the link provided at the end of each summary.

For continually updated information and intelligence about the legislative and regulatory news that affects you and your organization, go to <http://www.arma.org/legislative/uslegreg.cfm>

*Paperwork Costs U.S. Healthcare System \$400 Billion Annually*

A recently released [study](#) by Harvard Medical School researchers and Public Citizen estimates that paperwork accounts for approximately \$400 billion in costs to the U.S. healthcare system. Moreover, the study estimates that a staggering \$286 billion of that is from waste that could be eliminated by switching to a Canadian-style universal, single-payer healthcare system.

*Election Update: The Results Are In*

Juanita Skillman, chair of ARMA International's Election Management Committee, announces the following results of the 2004 general election:

**President-Elect (2004-05)**

Cheryl L. Pederson, CRM (by acclamation)

**Treasurer (2004-06)**

Fred A. Pulzello, MBA, CRM - 771 votes (49.0%)

William Benedon, CRM, FAI - 766 votes (48.7)

**Association Directors (2004-07)**

Angela “Angie” Fares, RHIA, CRM - 875 votes (56%)

Judy K. Tyler, CRM - 869 votes (55%)

Dianne L. Hagan - 768 votes (49%)

Steven T. Gray - 759 votes (48%)

Marry-Ellen Strauser, CRM - 702 votes (45%)

Komal A. Gulich, CRM - 635 votes (40%)

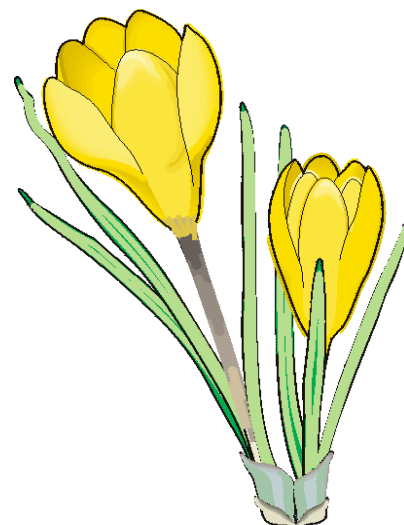
Penny J. Quirk - Withdrew prior to vote count

“The election results were extremely close,” reports Skillman. “In some cases there were as few as five votes separating the candidates. What better proof that every member's vote does count.”

According to the auditors, Mayer Hoffman McCann, 1,572 members (out of 10,143) returned valid ballots in this year’s selection, which is 15 percent of the eligible voters. This number is down from 17 percent (1,636 voters) in 2003, which was down from 18 percent (1,914 voters) in 2002. Ninety-two percent of the votes (1,448) were cast electronically. Electronic ballots were e-mailed to all eligible voters except those who opted out or did not have a current e-mail on record with ARMA. Mail ballots were sent to 1,303 members this year, 124 of which were returned.

“This continued downward trend in the percentage of our members who are voting is extremely disturbing,” says Skillman. “This is one of the most important roles our members play in this association. The Election Management Committee will be exploring ways to increase participation. We welcome suggestions from members on how to turn that trend around in 2004.”

Congratulations to ARMA’s new board members. They will assume their positions July 1.



**GREAT QUOTES**

There are no grades of vanity, there are only grades of ability in concealing it.

Mark Twain

**IMPLEMENTING ELECTRONIC RECORDS MANAGEMENT IN UTILITIES – PANEL DISCUSSION**

March 9 is the date for the tri-chapter meeting with the Fox Valley, Milwaukee, and Madison chapters of ARMA. It will be held at the Holiday Inn, Fond du Lac, beginning at 5 p.m. with registration. Pam Duane (MG&E), Priscilla Jarona (Alliant Energy), and Arlyce Vogel (WE Energies) will discuss where their companies are with the implementation of electronic records management systems.

A bus has been rented, which will leave East Towne at 3:30 p.m. from the back parking lot at the sporting goods store entrance.

The cost of the program is \$20 for members and \$25 for nonmembers. Please respond to [shirleyguimond@alliantenergy.com](mailto:shirleyguimond@alliantenergy.com) by noon on Friday, March 5.

**ADVERTISE WITH US IN THE ARMA MADISON NEWSLETTER**

Want more exposure to your chapter members? You can advertise in our chapter newsletter. Annual advertising rates are \$100 for up to a half column ad. This rate is for approximately 10 issues. You may change your ad anytime throughout the year.

Your continued support for the Madison chapter of ARMA International and the profession of records and information management is always appreciated.

Please send a camera-ready artwork copy of your ad and a check payable to "ARMA Madison" to P.O. Box 8863, Madison, WI 53708-8863. The electronic file of the artwork can be sent directly to the newsletter editor at [rosemary.stark@strand.com](mailto:rosemary.stark@strand.com).

If you have any questions, please contact Priscilla Jarona, President (608-458-3320), or Tim Hughes, Treasurer (608-252-4799).

**MARK YOUR CALENDAR**

*March 9, 2004:* Tri-Chapters meeting, Holiday Inn, Fond du Lac, 5 p.m. (bus leaving East Towne at 3:30)

*April 20, 2004:* Spring Seminar, Privacy and Records Management, Alliant Energy Center, Madison

*July 16-18, 2004:* Great Lakes Leadership Conference, Detroit, Michigan

**RECIPES**

*Irish Soda Bread*

- 2 cups flour
- 1/2 teaspoon baking soda
- 2 teaspoons baking powder
- 1 tablespoon sugar
- 1/2 teaspoon salt
- 3 tablespoons butter
- 1 cup buttermilk

Sift flour, soda, baking powder, sugar, and salt together. Cut in butter. Add buttermilk and mix well. Turn into an 8-inch layer cake pan and spread evenly. Bake at 350° for 35 to 40 minutes. Cut into wedges and serve hot.

*Irish Stew with Dumplings*

- 2 1/2 cups meat stock or water
- 1 1/2 pounds cooked lamb, diced
- 1 teaspoon salt
- 1/2 teaspoon pepper
- 2 onions, sliced
- 1 turnip, diced
- 2 carrots, diced
- 1 stalk celery, diced
- Sprig parsley
- 2 cups cubed potatoes

Add enough stock to cover meat; season. Add remaining ingredients and cook for 35 to 40 minutes. Thicken liquid with flour if necessary and serve stew with dumplings. Makes six servings.

Dumplings for stew:

- 2 cups sifted flour
- 1 1/4 teaspoon baking powder
- 3/4 teaspoon salt
- 1 tablespoon butter
- Milk (about 2/3 cup)

Sift dry ingredients together. Cut in butter. Add milk to make soft dough. Turn onto floured board and roll 1/2-inch thick. Cut into small squares, drop into hot liquid, cover tightly, and cook 20 minutes. Makes 12 dumplings.

*Light and Luscious Citrus Mousse*

- 1 (3 oz.) package vanilla pudding and pie filling (not instant)
- 1 1/2 cups cold milk
- 1 egg, slightly beaten
- 2 teaspoons grated lemon, lime, or orange rind
- 1/4 cup fresh lemon or lime juice or frozen orange juice concentrate, undiluted
- 1 cup frozen whipped topping, thawed

In medium saucepan, whisk together pudding, milk, and egg. Over medium-high heat bring to boil, stirring constantly; boil for one minute. Remove from heat; stir in rind and juice. Transfer to medium bowl. Place plastic wrap directly over surface. Refrigerate until cool (about 1 hour). Fold in whipped topping. Spoon into serving bowls or use pastry bag to fill hollowed-out citrus shells. Chill thoroughly before serving.

Makes four servings.



**FROM THE EDITOR**

Profiles

Thank you to those members who have sent their profile. I have published those I received, but I think I lost one in my e-mail. For anyone who has not seen his/her profile in the newsletter, please resend it. The form sent to the members can be used as a guide or filled out and sent to me in the mail. I don't think you can fill out the form on screen and e-mail to me. **I do want more profiles.** There are still three issues to publish.

Recipes

Where are the cooks?

**SARBANES-OXLEY, CORPORATE COMPLIANCE AND INFORMATION MANAGEMENT RAMIFICATIONS**

By Rosemary Stark

**“All organizations must prepare for Sarbanes-Oxley”**

This was the headline of the article in the August 29, 2003, edition of *The Business Journal*, a publication serving Greater Milwaukee. That guest comment was made by John Fons, one-half of the speaker team for the February 17 joint meeting of AIIM Wisconsin and ARMA Madison. John Fons is the president of LawServe, LLC, a Milwaukee company that consults organizations on building ethical and productive workplaces.

The other half of the team was Ron Kral, a founding partner of Candela Solutions, LLC, a public accounting firm specializing in governance, internal audit, and technology.

Sarbanes-Oxley can trace its roots to the Foreign Corrupt Practices Act of 1977 and Federal Sentencing Guidelines of 1991. Watergate was a factor in creating the first law. The Act, which was signed on July 30, 2002, is the most far-reaching reform of American business practices in sixty years. It has more to do with records than other laws.

Records management is affected because of the Arthur Andersen scandal. Justice was obstructed because records were destroyed before and during the investigation. Sec. 802(a) of SOX changes two criminal statutes:

- knowingly destroy, alter, or falsify any record, document, or tangible object sought in a Federal investigation or when an investigation is “contemplated” - fine or 20 years or both - all organizations

-destruction of corporate audit records – fine or 10 years or both – publicly traded companies

Sec. 1102 of SOX – whoever *corruptly*

-alters, destroys, mutilates, or conceals a record, document or other object, or attempts to do so, with intent to impair the object’s integrity or availability for use in an official proceeding or

-Otherwise obstructs, influences or impedes any official proceeding or attempts to do so

-Fine or 20 years or both - All organizations.

The outcome of Sec. 802 and 1102 is that the law is expanded somewhat and the penalties are increased a lot.

Another Section, 902, addresses voice and e-mail communications and penalties.

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## PRIVACY & RECORDS MANAGEMENT – SPRING SEMINAR

By Ana Aquino-Pérez

The Madison Chapter of ARMA and the Wisconsin Public Records Board announce an all-day Spring Seminar, "*Privacy & Records Management.*" This seminar is designed to raise awareness, stimulate dialogue, and help records custodians fulfill their dynamic role in planning and implementing for compliance in today's information-rich environments.

The seminar will be held Tuesday, April 20, 2004, at the Exhibition Hall of the Alliant Energy Center in Madison.

Several speakers will be providing educational sessions on this hot topic. Russ Whitesel, from the Wisconsin Legislative Audit Bureau and the Wisconsin Public Records Board, will open the morning sessions. He will provide a brief introduction of the issues and challenges that new privacy laws and regulations have created for the efficient and effective management, preservation, and disposition of records. Mr. Whitesel will also report on progress by state agencies to integrate electronic records and information systems into their records management programs.

Bob Tillman, ARMA International, will address *The Privacy Landscape in America*. He will explore the new laws and regulations recently enacted and what they mean for public and private organizations.

Carmen Brandt, from KeyMark West and a presenter at the ARMA International annual conference last year, will identify the critical issues relating to information, fraud, and identity security during her presentation on *Utilizing RIM Principles to Advance Information Security and Fraud Protection*.

In the afternoon, a session in *Privacy in the News* will be presented by Tim Kelley, opinion page editor for the Wisconsin State Journal, who will

share media perspectives on this issue as well as the media perspective on where to draw the line between the public right to know and the personal right to privacy.

James McDonnell and James Wisniewski from the Wisconsin Department of Transportation will be teaming up to present the challenges of getting "IT" right: building, implementing, and maintaining technology infrastructure that can meet business and privacy requirements for the agency and its stakeholders in the last seminar presentation:

### ***Getting "IT" Right.***

Attorneys, information managers, computer specialists, records managers, archivists, librarians, business administrators, and university or technical college students entering the information management professions will find practical advice to comply with new and complex requirements for managing information and records and dealing with the privacy issues.

This year's seminar also includes the opportunity for attendees to visit with various vendors. Representatives will be on hand to share their expertise in information and records management, tell you about their service offerings, and demonstrate their solutions.

Registration includes the full day of sessions, continental breakfast, and lunch. The deadline to ensure your spot is April 9, 2004. Registration fees are \$100 and \$125 for ARMA members and non-members, respectively, \$50 for full-time students, and a special fee of \$75 each when 3 or more people register from the same organization. Contact Tim Hughes for registration and additional information:

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**Sarbanes-Oxley**  
(Cont. from Page 6)

A little bird informed the editor that

**TIM HUGHES**

turns the big one on March 17.

**HAPPY 50!**

SOX is not a one-time event. Companies will continually have to evaluate their controls and compliance. They must produce an auditable trail showing when, how, where, and by whom documents are produced. Clear procedures must be in place to show the create-review-manage-distribute-archive-destroy cycle. The role of the records manager has become important.

The company needs to understand that compliance is a process that touches all levels of employees. As part of the Best Practices, it is important to document retention policies, procedures, and schedules. A central repository must be established for data. These standards must then be enforced.

A survey conducted by the Working Council for Chief Information Officers showed that CIOs were using SOX to improve efficiency in various areas under their control.

Ron made three points at the end of his portion of the presentation:

1. Don't keep what you don't need.
2. Institute and enforce a Code of Conduct.
3. Create a policy you can enforce.

Companies that have a great culture are successful.



**President's Chatter**

(Cont. from Page 1)

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Judy K. Tyler, CRM

Dianne L. Hagan

Prepare to celebrate Records and Information Management Month (RIMM) for the entire month of April to promote the profession. This is an excellent opportunity to let others in the company know the importance of what you do with your corporation's records. Be sure to [download the 2004 RIMM Handbook](#) to find more information, celebration ideas, and RIMM merchandise to purchase for use in promoting the event.

The ARMA Madison chapter has received a Proclamation from the Governor's Office officially designating April 2004 as "Records and Information Management Month" in the State of Wisconsin. The proclamation will be read and displayed at the April 20 seminar and will be posted on our Web site and in the newsletter.

The board members have discussed at several meetings whether to schedule webinars sponsored by ARMA International and host them at various locations. MG&E and Alliant Energy have both volunteered to use their facilities for the webinars. These will be offered in addition to our regular monthly meetings and will allow the opportunity for other members to watch and learn from the valuable information included in them. Watch for announcements in the future regarding these webinars.

**RIMM ACTIVITIES**

If you are planning RIMM activities for your company or office, please take pictures and/or provide copies of handouts or other materials for use in the newsletter. Your ideas may provide useful material for someone else to use in the future.

