

ARMail

Central New York

Vol.17, No.2, January 2008

Digital Signatures - Coming Soon to a Document Near You

How do Digital Signatures fit into your workflow -
as a technology, as a solution, and as a set of requirements?

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By Ramel Levin

Thinking of all the stacks of papers with wet signatures makes a tree-hugger weep. Companies invested six-figure budgets into automating their business process and workflows, yet find themselves still printing papers for a wet signature. Name any sector or vertical market, and you will find projects that are held up for days while documents are mailed between offices, partners, suppliers, or customers for appropriate signatures.

Tree-huggers have a shared interest with compliance officers who are concerned with how to assure the integrity and accountability of electronic documents and records; COOs who find their company's business processes slowed down due to the approval processes; CFOs looking for ways to cut costs associated with paper handling as well as the IT's growing concerns for information assurance.

Digital signatures are here to stop those tears

What are Digital Signatures?

Digital signatures seal an electronic document in a way that it cannot be changed. In other words, they guarantee the integrity of the document and the authenticity of the signer. Any changes made to the document after it is signed invalidate the signature, thereby protecting against tampering with the signed document and against signature forgery.

For centuries, signatures have been the most accepted means of authentication. Roman law recognized a combination of seals and signatures as the primary source for authenticating documents and legal contracts.

The 1830s saw the first signs of electronic communications and legally recognized "electronic" signatures with the invention of the telegraph and Morse Code.

However, it was the introduction of public key cryptography by Diffie and Hellman in 1976 that established the first practical method of distributing cryptographic keys over an unprotected public network, paving the way for digital signatures.



Fast forward twenty years to 1999 where the European Commission passed the "EU Directive for Electronic Signatures" and on June 30, 2000, President Clinton signed into law the Electronic Signatures in Global and National Commerce Act ("ESIGN"), which made signed electronic contracts and documents as legally binding as a paper-based contract.

The Business Case for Digital Signatures

Businesses around the world started using digital signatures to replace the traditional pen and paper signatures. Take ClinPhone as an example, ClinPhone is a leading provider of Clinical Technology Services in the Life Sciences Industry. The company has moved to a complete paperless signature process across a number of offices in Europe and the U.S., thus considerably **reducing the time-to-approval process** while maintaining compliance with the FDA's **regulatory requirement** for digital signatures. "To obtain an approval on a project required us in the past to fax documents between our branches around the world," says Daljit Cheema, senior vice president of Technology at ClinPhone. "This could take anywhere between three to four weeks to get signatures from all the parties. In contrast, today the process is completed in ten minutes. Digital signatures paid for themselves just in terms of increased productivity."

"Electronic signatures are becoming more popular as enterprises strive to streamline the approval process and reduce costs associated with paper-handling," says Gregg Kreizman, research director at Gartner. "Electronic signatures allow enterprises to get rid of the last paper hurdle in their workflow."

continued on page 5

2007 - 2008
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Message from the President, David Langevin

Happy New Year!

It is hard to believe that we have put 2007 behind us already. Yet it is equally exciting as we look at the programs/events we have scheduled for CNY ARMA so far in 2008.

At the dawn of the Christmas Holiday, CNY ARMA learned of terrible fire that destroyed the home and belongings of one of Mexico Fire Departments Volunteer Fire Fighters and his family. We were able to come forth with others to provide a financial donation to the family to help bring them through the holiday. We were very happy to learn that no one was injured in the fire.

I would like to take this time to remind all of our members and non-members that CNY ARMA is here to serve you. We provide an opportunity for all of you to network with your peers, as well as providing an opportunity to increase your knowledge and awareness of the rules and regulations that apply to Records Management today. In addition, our programs provide you with helpful tools to assist in your day-to-day work responsibilities.

We communicate a lot of our program announcements and publications via email, and through this newsletter. So please, take the time to read the announcements and most importantly review this newsletter to be kept aware of our calendar.

We truly appreciate and need the support of our members and non-members and look forward to seeing you at our upcoming February meeting in Syracuse.

Please contact me at any time to provide more information.

Sincerely,
David Langevin
President
CNY ARMA
Phone: (315) 701-1498 Email: david.langevin@ironmountain.com

Answers to
CRM
questions
on page 5

1 - a
2 - e
3 - c
4 - e
5 - e

CNYAMA Report of the Treasurer

Submitted by Edward L. Galvin, Treasurer
December 14, 2007



Balance as of 9/12/07		\$6173.71
INCOME:		
Escrow (Membership)	\$ 315.00	
September Meeting	\$ 110.00	
Advertising	\$1500.00	
		\$1826.00
EXPENSES:		
September Meeting	\$172.12	
ARMA Int. Mtg. – J. Lewis	\$849.00	
		\$1021.12
Balance as of 12/14/07		\$7077.59

Records Managers, Archivists and IT Staff - Mark Your Calendars!

The Central New York Chapter of ARMA is pleased to announce that well-known educator; author; and records expert Gregory Hunter will be the featured speaker at the upcoming CNY ARMA luncheon meeting on February 7, 2008 at the Holiday Inn - Carrier Circle, Syracuse.



The title of Hunter's talk will be "Tightening the Connections: Partnering with IT to Ensure Compliance and Preservation of Digital Records." The fragmentation of roles and responsibilities related to electronic records management and digital preservation provides evidence of the need for partnership and collaboration among the various key stakeholders. Hunter's presentation will discuss how to forge the necessary relationships with records managers, archivists and IT, when setting up a compliant records management program.

Gregory Hunter is both a certified archivist and a certified records manager. Before joining the faculty of Long Island University in 1990, he was manager of corporate records for ITT Corporation and director of archival programs for the United Negro College Fund. His professional activities include being elected the first president of the Academy of Certified Archivists. He frequently lectures and writes on topics related to archives and records management.

Dr. Hunter currently is conducting research on electronic records. His latest book, *Preserving Digital Information*, was published by Neal-Shuman in 2000 and received the Society of American Archivists' 2001 Preservation Publications Award.

Please extend an invitation to the IT staff at your institution to attend this informative presentation.

The February 7th meeting will be at the Holiday Inn, Carrier Circle, Syracuse

Registration: Call or email Jackie Lewis
by **Friday, February 1, 2008**
Phone - (315) 866-2920, ext. 232
E-mail: jlewis@herkimerarc.org

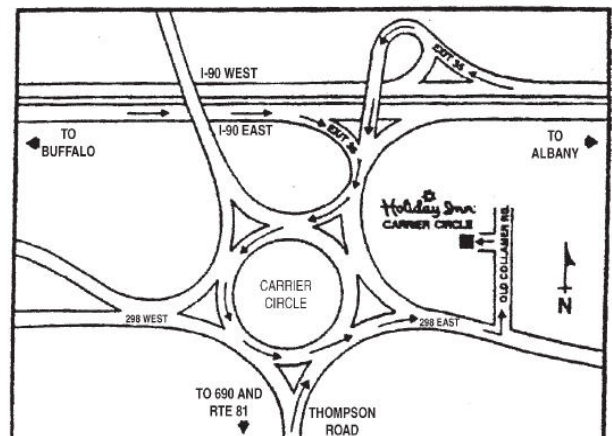
AGENDA:

10:30 - Board meeting (all members welcome)
1:30 - Registration
Noon - Lunch
1:00 - Program begins
Registration fee: \$25.00 - ARMA Members
\$30.00 - Non-Members

Driving Directions

Holiday Inn, Carrier Circle
6555 Old Collamer Road South, East Syracuse, NY

- * From NYS Thruway (I 90) take 35 to Carrier Circle. Exit circle to 298 East (Bridgeport). Take first left onto Old Collamer Road. Holiday Inn is ahead on left.
- * From 690 take Exit 16N (Thompson Rd. North) to Carrier Circle. Exit circle at 298 East (Bridgeport). Take first left onto Old Collamer Road. Holiday Inn is ahead on left.
- * From Route 81 take 690 East Exit 16N (Thompson Rd. North) to Carrier Circle. Exit circle at 298 East (Bridgeport). Take first left onto Old Collamer Road. Holiday Inn is ahead on left.





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The initial compliance driver in ClinPhone's case is no coincidence. If electronic documents are not safeguarded, inadvertent or intentional tampering becomes easier in the electronic world than with paper and pen. In 1997, regulators became aware of these concerns and the FDA was the first to issue regulations (Title 21 CFR Part 11) that specifically mandated using electronic signatures on electronic documents.

Other industries and sectors such as healthcare, government, financial, and others added either direct requirements for using electronic signatures or a "technology neutral" requirement for date integrity of an electronic document (i.e. safeguarding electronic documents against unauthorized changes). While the latter can be satisfied with different means, the only standard technology that offers this is digital signatures.

While most companies move from paper-based documents to streamline the approval process and comply with their industry regulations, other motivations to adopt digital signatures are cutting costs associated with paper handling (printing, scanning, faxing, shipping, and archiving), document security, and corporate "going green" initiatives

How will Digital Signatures Fit in Your ECM and Workflow Solutions?

A wide variety of desktop applications today have built-in support for digital signatures. These applications include Microsoft Word and Excel, Adobe Acrobat (including the freely available Adobe Acrobat Reader), and many others. This built-in support is enabled once a "signing engine" is plugged into the application to provide the digital certificate and keys used for signing. The digital signature support allows a user of a typical ECM system to check-out a document, apply a digital signature, and check it back in. Some ECM vendors took the support for digital signatures a step further and integrated digital signature functionality as an integral part of the ECM system. This integration provides the ability to sign files directly from within the ECM system's front panel (without having to open the file and sign at the application level); a user-indication of where the document is in terms of signature process is also added to the front panel. The digital signature information might also be part of the metadata for each document for various search criteria.

Digital Signatures Beyond Workflow

While the most visible and significant advantages are seen in workflows, digital signatures benefit ECM and other areas as well.

- o Version Control – Add the user's signature to any changes made throughout the document's lifecycle. With digital signatures, non-repudiation of changes made in documents is no longer an option.
- o Audit Trail – Digital signatures can be added to any transaction being recorded in the audit trail.

- o Capture – Add system signing to documents that are sent/distributed out of the company (e.g., invoices). Note that in some cases, due to legal requirements, such an example might actually require a user signing.
- o Record Management – Sign and seal records that must be retained to assure the record's integrity.

If your company already migrated to a paperless environment, yet you find yourself printing documents for signing, you will want to join thousands of companies who are already reaping the benefits of digital signatures. Digital signatures can eliminate the last hurdle, expedite the approval process, and workflow system, as well as save on additional costs.

Letter from the Editor

Happy New Year! The New Year brings with it opportunities to do things differently. This year, instead of focusing solely on records management, I can't help thinking about the integral part technology plays in today's records management programs and the importance of cooperation between records managers and IT.



A recent survey of records managers by Cohasset reached the conclusion that "the collective knowledge and expertise of professional support areas are required to successfully manage electronic records." The survey was co-sponsored by both ARMA and AIIM. You can download a white paper based on this survey for free from the Cohasset site at <http://www.merresource.com/downloadWhitepaper.htm?fileId=1>

To pursue this topic further our February speaker, Gregory Hunter, was asked to speak on "Tightening the Connections: Partnering with IT to Ensure Compliance and Preservation of Digital Records." This is one presentation you won't want to miss!

And, finally, this issue's lead article, "Digital Signatures," by Ramel Levin, provides an example of technology that will play an increasingly vital role in records management. Digital signatures guarantee the integrity of the document and the authenticity of the signer. Records managers need to understand this technology and the role it can play in assuring the integrity of an electronic record.

I hope you enjoy this issue of our newsletter and that you plan to join us on February 7th to learn more from well-known educator, author, and records expert, Gregory Hunter.

Patricia C. Franks

Patricia C. Franks, Ph.D.
CNYARMA Immediate Past President

C R M
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By Patricia C. Franks,
Ph.D., CRM

Demonstrate your knowledge and skills by adding the CRM designation after your name. All you have to do is qualify for and take a six-part exam. The first five parts contain 100 multiple-choice questions each to demonstrate your knowledge. The sixth part is made up of two case studies that test your ability to apply your knowledge to real-world situations. Evaluate your knowledge by answering the questions below. And if you are interested in learning more about the CRM exam, visit <http://www.icrm.org/>.

Part 1: Management Principles and the Records Management Program

1. An advantage of using external consultants in a RIM program is:
 - a. They can provide unbiased advice.
 - b. They understand all of the internal politics.
 - c. They understand the nature of the internal business.
 - d. They are familiar with all of the workers.
 - e. It's the cheapest route to take.

Part 2: Records Creation and Use

1. Metadata, described in the broadest sense, is the core set of elements needed for the effective _____ and management of information.
 - a. Creation
 - b. Disposition
 - c. Retention
 - d. Destruction
 - e. Retrieval

Part 3: Records Systems, Storage, and Retrieval

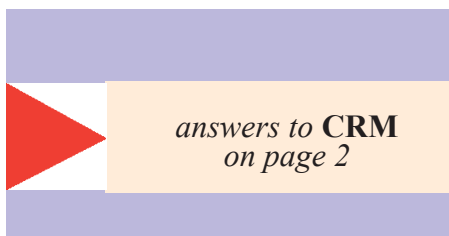
2. In a filing system, a _____ is a notation showing that the records you're looking for may be filed elsewhere.
 - a. Charge-out
 - b. Database
 - c. Cross reference
 - d. Guide
 - e. Document

Part 4: Records Appraisal, Retention, Protection, and Disposition

1. A primary concern regarding the legal admissibility of electronic records is the ability to detect the _____ of the information.
 - a. Elements
 - b. Value
 - c. Location
 - d. Cost
 - e. Alteration

Part 5: Technology, Equipment and Supplies

2. Electronic document imaging systems offer all of the following benefits, except:
 - a. Improved productivity.
 - b. Improved file integrity.
 - c. Convenient remote access.
 - d. Version control.
 - e. Elimination of storage devices.



Disclaimer Notice

ARMAil is published at least five times during the fiscal year. Readership includes members of the Central New York Chapter of ARMA International, as well as interested records and information management professionals in the central New York area. The information contained in this newsletter does not necessarily reflect the views of the membership or the editor, nor is there any endorsement of advertisements or published seminar information. This newsletter is offered only as a source of information.

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By sponsoring one of our meetings this year, your company will also receive advertising space in **ARMAil** and on the CNYARMA website. You will reach practicing Records and Information Managers who are interested in your products and services. In addition, at the meeting you will be given five minutes to speak about your company. The following are the advertising rates for the 2007-2008 fiscal year:

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Archives/Records Management Updates

SAA Records Management Roundtable Listserv

The listserv of the Society of American Archivists Records Management Roundtable has been replaced by a new discussion list managed by the Society. The listserv – known as SAARMRT – was established in 1999 to facilitate communication within the Roundtable and was open to all archivists with responsibility for or an interest in records management. At the time of its closing there were 350 members. SAARMRT was used solely for information, comments or questions regarding the SAA Records Management Roundtable and its companion group the former SAA/ARMA Joint Committee. Managed by Edward L. Galvin at Syracuse University, the listserv officially came down on December 30th.

SAA members who were on the old listserv were automatically subscribed to the new Records Management Roundtable Discussion List. Non-SAA members who wish to continue their membership should contact SAA's Brian Doyle at bdoyle@archivists.org to find out how to set up a profile and join the list.

Status of SU's Records Coordinator Project

There are now 360 Syracuse University staff assigned as records coordinator or backups representing more than 240 campus departments. These coordinators serve as primary liaisons between the department and Records Management; coordinate any records deposited in the Records Center; act as the central control point for any files or boxes retrieved from the Records Center; facilitate disposition of records at the end of the legal retention period; coordinate access to department records by non-department staff; and review any department retention schedules for required updates and changes.

If anyone would like to know more about how this program operates they can contact Larry Mead at lamead@syr.edu for more information.

Updated Records Management and Archives Policies at SU

This past fall Syracuse University released a new online policy manual. The purpose of the policy project was to standardize policy format; eliminate redundancies; improve organization, accessibility, search, and navigation; clarify processes for submitting new policies and revising existing policies; and link to and coordinate with policies in the Faculty Manual, Student Handbook, Academic Rules and regulations, and those established through the University Senate.

Among those are two covering the work of the University's Archives and Records Management department. The University archives policy is at supolicies.syr.edu/ethics/archives.html and the University records policy, at supolicies.syr.edu/ethics/records.html.

The University records policy includes definitions, stresses that the same safeguards and controls over information stored electronically apply as for information created and maintained in paper form, clarifies the role of the University Records Center, and explains department and Records Management responsibilities.





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