

**Chapter  
Newsletter of  
the Year!**  
Medium Chapter  
Category

# ARMail

Central New York

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October 2002

## The Importance of **DISASTER RECOVERY PLANNING** Hits Home

by Eva Marer

For many small businesses, business resumption is not an option. In a small waiting room in mid-town Manhattan, they perch on metal folding chairs, their legs jingling with anxiety. These people are not waiting for news of missing relatives, but for some shred of hope that their businesses are not dead. They are walk-ins to New York City's emergency Business Resource Center (BRC), established by Governor George Pataki two days after the terrorist attack on the World Trade Center. The majority of them are small business owners and the news for them is grim.

They are seeking financial help, access to their gutted buildings, restored services, relocation in temporary office space and technical assistance, from network connectivity to computers. But behind the masks of anxiety, a horrible reality is slowly beginning to dawn: even if they get all the help in the world, their businesses may be doomed. "Ninety percent of them had no back-up whatsoever," says Chet Guzel, a network engineer and consultant with offices on Wall Street just blocks from Ground Zero. Sadly, these companies are now becoming object lessons about the importance of disaster recovery planning, even for small businesses.

So far, over 500 business owners have walked through these doors, and the BRC hotline has handled another 5,000 calls. More than 90 percent of those uti-

lizing the BRC and the hotline are small business owners, says Glynis Gotwald, a spokeswoman for the Empire State Development Corp., which is spearheading the BRC effort. While more than 14,000 businesses were directly affected by the attack, many of the larger companies have multiple locations, redundant servers and extensive back-up files. Despite losing some 40 employees and access to its numerous offices spread throughout the South tower — a toll that would have devastated a smaller company — Morgan Stanley is back in business.

The same cannot be said of small companies from law firms and consultants to corner delis and non-profit theaters. "We even had a shoemaker in here whose entire business came from World Trade Center employees," says Gotwald.

Not all small businesses in the area were destroyed, of course. "We were shut out of our office for several days, but we had a full recovery plan in place and were able to work from remote locations," says Guzel, one of the engineers who helped create the Mayor's Office of Emergency Management. "It's incredibly sad that we lost all our work [when the Office was destroyed in the attack] but we have not been affected in a disastrous way," nor have his existing clients. Tech companies like Guzel's have rushed in to offer free services to their neighbors — but often find themselves powerless to

*Continued on page 5*



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**Meeting in Review**  
**September 10, 2002**  
**Genesee Inn, Syracuse**

**Submitted by Jill Patak**

# Nuts & Bolts

There were two great presentations at this meeting!

## 1 Nuts & Bolts of Litigation & Discovery

Thomas D. Keleher,  
Bond Schoeneck and King

Attorney Thomas Keleher has twenty years experience in all types of litigation and his experience and expertise showed in his presentation! Keleher sketched out several different case scenarios, explaining how records might or might not be used for evidence.

A key point made by Keleher is that in New York State courts it is mandatory to disclose various types of information, regardless of the format. Thus, records maintained electronically generally have to be produced in that format while paper records must be produced in paper. Forensic computer experts, who assist the courts when electronic records are at issue, can determine whether files have been altered or deleted, and thus assess electronic evidence. In Onondaga County, as in other counties across New York State, juries have computers available for assessing electronic records.

Records management can easily become an important issue in litigation, especially when questions concerning retention and disposition are raised. Keleher stated that courts can and will study litigants' records retention schedules, and examine the policies and procedures that are based on those schedules to determine whether or not records management is part of the normal course of business. Keleher provided a cautionary tale in which one large insurance company was found to have been negligent in consistently applying its records retention schedule and was heavily fined for its misconduct. Another company facing punishment for the same behavior is, of course, Enron.

## 2 Nuts & Bolts of Record Scheduling and Inventorying

James F. Pauls, CRM, and  
David McDermott of the J. R.  
Simplot Co., Boise, Idaho

Following closely on the issue of the legal aspects of records retention and disposition, the next speakers offered advice on how to go about creating a records schedule, beginning with an inventory.

An inventory provides the scope of records to be managed, organizing the information collected during an inventory can be simplified by using a data collection form with such fields as Record number, Medium, Subject, Title, Description, Dates Covered, Retention Period and Destruction Date.

Inventory information can be collected either by records management staff or by staff within the departments that hold the records. Once the records have been inventoried, there is a better idea of the volume of inactive records requiring storage, and the volume of active records that would better remain in the offices. An inactive storage area should be set up using some sort of tracking system so that records can be retrieved in a reasonable amount of time, whether for internal use or for disposition.

A Retention and Disposition Schedule should take into consideration both the legal requirements for retention as well as the practical requirements of the staff who use the records. Once this has been sorted out and agreed upon, it is essential that all staff understand that the schedule must be adhered to, and that unauthorized disposal of records is not acceptable!



Message from the President  
Eileen Keating

## A Chance to Reflect: Am I Prepared?

I was not surprised when the survey we sent out to our members over the summer showed that disaster and security planning was the top choice for a meeting topic. If you watch the news or read the papers, you know it is a topic on many people's minds. We are living in a time of uncertainty and fear.

Proof of this can be seen in an e-mail I received about a workshop being sponsored by Cornell entitled *Digital Terror*. Some of the session titles were "Wired Ruins: Digital Terror and Ethnic Paranoia," "Digital Disobedience: Routing around Cyberterrorism" and "Technologies for Countering State Terrorism." It is even more intriguing to read that the workshop was co-sponsored by Cornell University Library, Graduate Program in Film and Video, Visual Studies Program, Society for the Humanities, College of Art, Architecture, and Planning, Department of Art, French Studies, Department of Science and Technology Studies, Information Science Program, Department of History of Art, Department of English. Terrorism, the potential for disaster, security concerns, are realities that touch upon all of us.

So where does this lead us as records managers? I can say with certainty that if I owned my own company, was a CEO of a large corporation, president of a university, worked in the private sector, etc., for peace of mind I would want a records manager(s) on my team. We all know that by establishing standards and policies records managers enable information to be found when needed and by creating and following retention schedules we enable information to be shredded/recycled/deleted or permanently retained at the appropriate time. Because we see the big picture, we are prepared for whatever may come and today that *whatever* includes disasters, disasters of many kinds.

The key word to remember, though, is preparation. To get a complete picture of

all that our jobs encompass I decided to type in records manager in Google and was not surprised to find the following definition. Notice in particular the last bullet.

Records managers are responsible for the creation, storage, retrieval and disposal of all recorded information about an organization's activities.

This information contributes to what is often called the 'corporate memory' of the organization, without which an organization could not function properly or be held accountable for its actions.

Records managers may perform the following tasks:

- analyse the information needs of organizations and develop information plans that reflect these needs
- undertake audits of information created and stored within the organization
- develop policies for the distribution and storage of records, including the incorporation of new information technologies into the organization
- create and maintain databases for the control and retrieval of information
- ensure that all aspects of record keeping adhere to relevant legislation
- determine periods for which records are to be kept and ensure that records are disposed of or archived according to policy and legislative requirements.
- ensure that relevant records are made available under the Freedom of Information Act
- *develop disaster plans to ensure that the organization has the necessary information to continue functioning in the event of a major disaster.*

Records managers must work closely with all staff members to ensure that the information systems of the organization meet their needs and contribute to organizational objectives.

Every once in a while we need to step

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*Because we see the big picture, we are prepared for whatever may come and today that whatever includes disasters, disasters of many kinds.*

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back, re-evaluate and ask ourselves the tough questions. If a disaster were to hit, would my company/office be able to get up and running? Do I need to do an updated records inventory to identify vital records and find out where they are stored? Are back-up tapes being regularly created and if so where are they stored? Do I have a security system to ensure confidential records are protected? Do I have a plan for what to do if paper records or computers should be damaged by water, for an instance?

This month's meeting will give us a chance to get some advice from some area experts in disaster and security planning. For those who have plans in place, it will be a chance to look for ways to improve. For those who want to start a program in their organization, it will be a chance to learn where to start and network with others. I hope to see you on November 12.

**RECORDS**

by Holly Murphy, CRM

It has come to my attention lately that there are a few CNY ARMA members who are considering sitting for the ICRM tests. I am very glad to hear that news. Anyone who may have any questions, don't hesitate to give me a call. I will answer any question, or find out the answer, or connect you with a person who does have an answer. In the meantime, while you consider records management certification, take this records management quiz. The quiz questions come from the Institute of Certified Records Managers Sample Examination booklet. As always, we thank them for the special permission granted us in using these questions for our column.

**PART 1 Management Principles and The Records & Information Management Program**

1. Ergonomic studies have shown that:
  - a. psychological factors of the workers affect the physical environment.
  - b. physiological factors in the office affect the worker's behavior.
  - c. productivity levels affect the morale of the group.
  - d. the motivations of the workers are not influenced by the mental environment created by supervisors.
  - e. video games may be dangerous to your health.

**PART 2 Records Creation and Use**

2. The microform format most widely used for duplicating and distributing reports is:
  - a. microfilm jackets.
  - b. roll film.
  - c. microfiche
  - d. microfilm cartridges.
  - e. microfilm cassettes.

**PART 3 Records Systems, Storage, and Retrieval**


3. Rapid, precise retrieval of documents which have been microfilmed in random order is \_\_\_\_\_.
  - a. RAM
  - b. ROM
  - c. CAD
  - d. COM
  - e. CAR

**PART 4 Records Appraisal, Retention, Protection, and Disposition**

4. An archive is devoted primarily to housing \_\_\_\_\_ records:
  - a. administrative
  - b. fiscal
  - c. historical
  - d. operating
  - e. housekeeping

**PART 5 Facilities, Equipment, Supplies and Technology**

5. Microfilm can reduce records storage space requirements by:
  - a. 33 percent.
  - b. 61 percent.
  - c. 90 percent.
  - d. 98 percent.
  - e. 100 percent.

 *Answers on page 8*

**Treasurer's Report**

Submitted by Susan MacLeod, CRM, Treasurer  
September 30, 2002

BALANCE as of 07/31/02: ..... \$2,041.86

**INCOME:**

09/30/02 Escrow Direct Deposits - July & August ..... \$175.00  
 09/10/02 September Meeting Revenue ..... \$385.00  
 09/10/02 Escrow received directly ..... \$35.00  
 09/30/02 Account Interest ..... \$.04  
**Total Income:** ..... \$595.04

**EXPENSES:**

09/10/02 Genesee Inn - September Meeting ..... \$329.81  
 09/18/02 May Newsletter Payment ..... \$393.41  
 09/30/02 Bank Charges, August & September ..... \$10.00  
**Total Expenses:** ..... (\$733.22)

BALANCE as of 09/30/02: ..... \$1,903.68

**MemberQuest**

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*Looking for a new records management job in the area?*

Check out job postings on the CNY ARMA web site  
<http://sumweb.syr.edu/archives/cnyarma/>

## Disaster Recovery Planning

Continued from page 1

help.

"These are people who may have worked to the limit for the past 10 or 15 years, and today they're lucky if they can remember a few clients' phone numbers," Guzel says. He has offered to help companies recover data, only to find that every last scrap of information was stored on a desktop computer, or on backup tapes that never left the office. "They have no clue who to collect money from because their accounts receivable are gone. You or I could walk in and say we're owed money and they'd have no way of confirming it because accounts payable is gone too." Guzel is frustrated nearly to the point of tears by the faces of anguish he sees. Moved to help despite the obstacles, Guzel has gotten a few networks up and running with data recreated from hard copies.

Other tech companies, such as Expanets, a network solutions provider that was formerly the small-business arm of Lucent, have offered space in their own offices for existing clients who were dislocated by the blast. Yet connectivity has hampered efforts to get businesses back online. "Verizon has the last mile on everything in the city and dial tone is a huge issue," says Kyle Lane, an Expanets account executive. Verizon has halted all new orders for T1 lines, he says, so the company is furnishing its clients with dial-up connections and access to virtual private networks for the time being. In addition to assisting its own clients, Expanets signed up with the BRC to offer technical assistance, and has been fielding phone calls from hassled business owners all over the city. "A lot of these small businesses don't even have an IT person," he says. "We're just answering a lot of basic questions like 'Is it my phone line? Is it my T1? Is it my data network?' If they're selling or making anything, they can't do it without connectivity."

Some tech companies are lobbying their vendors to provide free equipment. Scott Gilbert, president of Unetra Systems, has offered free loaners to any business running Sun-based Solaris

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*"They have no clue who to collect money from because their accounts receivable are gone. You or I could walk in and say we're owed money and they'd have no way of confirming it because accounts payable is gone too."*

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applications. By the Friday after the attack, he had already contracted with two real estate companies to provide a turn-key solution for companies needing to relocate. Gilbert's approach seems to be part altruism, part quick business sense as he rushed to take advantage of a need and an opportunity. "We've discounted our labor rates and are offering free consulting to affected business," he says. He has also attempted every day to volunteer at the disaster site, but has been turned away. Gilbert's mood seems to mirror that of many executives who narrowly escaped harm: the drive to help is matched only by their resolve to keep their own businesses afloat.

Gilbert added that CIOs, no matter where they are in the country, can volunteer to offer advice, support or consult-

ing services via phone to affected businesses by registering at the BRC hotline: 1-800-I LOVE NY. Those staffing the phones log in volunteers who may be called on in the months ahead.

If anything positive for business is to come of this terrible tragedy, it will be that companies of all sizes recognize the importance of creating a business resumption strategy, from redundancy and fault tolerance to back-up management and insurance. "No one in New York thought this would happen to them," Guzel says mournfully. "It's challenging to get someone to understand the importance of disaster recovery planning, yet out of a hundred businesses, probably 96 need it. In the past, we tried to motivate people by providing examples of disasters in other cities around the world. Now we don't have to go outside our own city to drive the point home."

*Reproduced with permission from Eva Marer, who is a freelance business and technology reporter based in New York. She covers investments, personal finance and corporate technology issues for a variety of trade and consumer magazines. Contact her at <egresspress@aol.com>.*

### WEB SITES on DISASTER PLANNING

*Below are some informative web sites concerning disaster planning that Peter A. Kurilecz shared on the records management listserv.*

[www.mcgladrey.com/INFOTECH.NSF/pages/BusinessContinuityPlanningProcess](http://www.mcgladrey.com/INFOTECH.NSF/pages/BusinessContinuityPlanningProcess)

[www.contingencyplanning.com/](http://www.contingencyplanning.com/)

[davislogic.com/mail\\_lists.htm](http://davislogic.com/mail_lists.htm)

[www.rothstein.com/](http://www.rothstein.com/)

[www.disaster-resource.com/](http://www.disaster-resource.com/)

[www.globalcontinuity.com/Default.asp](http://www.globalcontinuity.com/Default.asp)

[www.m25lib.ac.uk/M25dcp/](http://www.m25lib.ac.uk/M25dcp/)



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## ARMA & SAA collaboration

*Archivists and records managers know that by working together and finding common ground, they can be more effective in their work. Dialogue between the Board of Directors of ARMA and the Council of SAA has recently resulted in a statement of joint purpose.*

### Statement of Joint Purpose:

The Board of Directors of the Association of Records Managers and Administrators (ARMA) and the Council of the Society of American Archivists (SAA) hereby acknowledge the commonality of purpose between our two organizations. This commonality of purpose reflects the fact that our two organizations are recognized as the highest professional bodies in the records community in North America. We commit ourselves to maximizing cooperation, communication and collaboration on issues of joint concern.

In making this commitment we recognize that there is a greater likelihood of success in tackling such issues if we pool our energies and resources and share our ideas.

Specifically, in the near future we commit ourselves to cooperation and collaboration in the following areas:

- Explore options to encourage dual memberships;
- Cooperate in defining reciprocal arrangements for annual conferences, including:
  - reciprocal members' rate reductions in registration fees
  - reciprocal provision of trade exhibit booths and brochure mailouts
  - free registration for the Presidents of the respective organizations
  - free advertising of conferences in our respective publications;
- Encourage cooperation in political lobbying and public policy issues, especially in relation to the issuing of joint statements and media releases;
- Continue and where possible increase cooperation in the area of standards development and promulgation;

- Encourage information sharing and communication and collaboration between counterpart officers on our respective committees of national governance for the developing more effective synergy on common issues;
- Encourage cooperation in the area of continuing professional development including investigating the possibility of holding joint symposiums;
- Encourage departments of both associations to increase the number of joint workshops and seminars, with the fees for such joint events being set at levels that would be accommodating to the members of both organizations;
- Explore development of a joint campaign aimed at promoting the benefits and importance of recordkeeping, both short and long term, targeting such enterprises as corporate America, higher education, nonprofit and government organizations in North America;
- Explore working together to forge strategic alliances with other associations on a national and international level that have an interest in records, information management and documentary heritage matters;
- Encourage the publicizing of reports about activities of our respective organizations in the publications of the other organization;
- Encourage the Joint Committee to conduct a formal review of progress on this Statement annually.

### 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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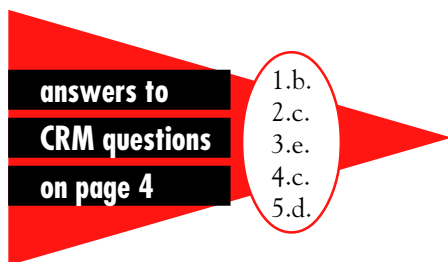
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**answers to  
CRM questions  
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- 5.d.