

ARMAil

Central New York

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November 2003

E-Signatures for the Uninitiated

At our November meeting, Mike Becker will be discussing electronic forms, workflow, and e-signatures, and explaining how these technologies can improve our business processes. I remember discussions at a former place of employment about 10 years ago regarding e-signatures and the difficulty we had communicating the process to the eventual users. The following article from the on-line "Youd Zone" does a good job of cutting through the technical mumbo-jumbo to explain exactly how this process works.

Ed Galwin, ARMAil Editor

What is a DIGITAL SIGNATURE?

An introduction to Digital Signatures by David Youd

Reprinted from the Youd Zone with the kind permission of the author.

Bob has been given two keys. One of Bob's keys is called a Public Key, the other is called a Private Key.



Bob



Bob's Public Key



Bob's Private Key

Anyone can get Bob's Public Key,



but Bob keeps his Private Key to himself.



Bob's Co-workers



Pat



Doug



Susan

Bob's Public key is available to anyone who needs it, but he keeps his Private Key to himself. Keys are used to encrypt information. Encrypting information means "scrambling it up", so that only a person with the appropriate key can make it readable again. Either one of Bob's two keys can encrypt data, and the other key can decrypt that data.

Susan can **encrypt** a message using Bob's Public Key. Bob uses his Private Key to **decrypt** the message. Any of Bob's co-workers might have access to the message Susan encrypted, but without Bob's Private Key, the data is worthless.

With his private key and the right software, Bob can put **digital signatures** on

"Hey Bob, how about lunch at Taco Bell. I hear they have free refills!"



HNFmsEm6Un
BejhhyCGKOK
JUxhiygSBCEiC
0QYIh/ Hn3xgiK
BcyLK1UcYiY
Ixx2ICFHDC/A



HNFmsEm6Un
BejhhyCGKOK
JUxhiygSBCEiC
0QYIh/Hn3xgiK
BcyLK1UcYiY
Ixx2ICFHDC/A



"Hey Bob, how about lunch at Taco Bell. I hear they have free refills!"

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Do I Know the Questions to Ask?

At Cornell, as at many institutions, restructing, or reengineering is taking place. We are in the process of creating business service centers, which means much of the work once done in the departments in the financial and human resources arena will now be done in the centers. People are physically moving, so are files and the process of doing work is changing. Workflow software products exist on campus (we have several PeopleSoft management systems in place), but what is workflow? According to the Workflow Management Coalition and the Workflow and Reengineering International Association, workflow is the “automation of a business process, in whole or part during which documents, information, or tasks are passed from one participant (human or machine) to another for action, according to a set of procedural rules.”

Workflow involves developing standardized practices and, in a decentralized environment such as Cornell, where there are both endowed and contract colleges, this certainly is a daunting task. Every college within Cornell has been allowed to create a diverse, distinct atmosphere, even in the way they pay their employees, so automating the business process has not been easy. There is so much change taking place in our lives,

Message from the President Eileen Keating



that we have a tendency to react when it happens at work and that is part of the challenge when instituting workflow management systems.

I think most of us “get it” when it comes to visualizing and understanding workflow in terms of paper records. It is electronic records that we think of differently and we have to remember that the same principles apply. We have to ask ourselves the same questions concerning security, records validation, retention, office of record, etc. I would agree that the electronic realm is more complicated and more people are now involved behind the scenes, but as records managers we have to try to be part of the discussion when decisions are being made about investing in certain systems. The knowledge we possess as records managers is a valuable commodity and we should not hide it, and one way of being invited to the table, so to speak, is to ask the right questions.

At this meeting our speaker, Mike Becker, will address workflow, electronic forms and electronic signatures. I know at Cornell we have not started using electronic signatures, but I know this new technology is coming and I do have questions. I invite all of you to attend this meeting and bring your concerns on these issues. I hope to see you there.

Your Chance to Win!

NOW you can get even more value out of attending CNY ARMA meetings...

CNY ARMA will be raffling off great gifts at each of our next four meetings. All you need to do is attend a CNY ARMA meeting and put your name in the drawing. One winner will be chosen at each meeting to receive a wonderful gift from a Syracuse-area business. PLUS – all names from attendees at each meeting will be kept for a final drawing at our end-of-year meeting in May. The grand prize drawing is for a Mid-Lakes

Navigation Dinner Cruise on Skaneateles Lake.

Excellent value for your money – when you attend a CNY ARMA meeting, not only do you get information on relevant topics that affect your organization, wonderful networking opportunities, and a great lunch – now you also get a chance to win up to two great prizes.

CNY ARMA extends its thanks to Dave Langevin for arranging for these great raffle gifts.



Meeting in Review
September 24, 2003
Empire Room, NYS Fairgrounds
 by Patricia C. Franks

Two recent key pieces of legislation with implications for records managers, the **Sarbanes-Oxley Act of 2002** and **HIPAA (Health Insurance Portability and Accountability Act)**, were presented in a thought-provoking seminar by **David Langevin** of Iron Mountain.



HIPAA

Records Management is important in order to support compliance management, provide access, control, and consistency to the records managed, and as an integral part of risk management procedures.

Records managers are advised to prepare to address the issues raised by HIPAA by first reviewing records compliance issues and auditing their firm's ability to meet the regulations. The results of a comprehensive records management program are twofold: 1) improved ability to locate records for audit, and 2) improved credibility with regulatory agencies.

The following elements come into play:

Access, Control, Consistency

1. Policies and procedures.
2. Consistent indexing and organization scheme.
3. Appropriate records management systems and tools including patient tracking.
4. Consistent and compliant purge procedures.
5. Need to immediately access critical records.
6. Need to address paper and electronic records alike.

Litigation Risks

7. Inability to identify favorable information.
8. Inability to respond to discovery.
9. Loss of credibility.
10. Unfavorable settlements.

Sarbanes-Oxley Act of 2002

The Sarbanes-Oxley Act was passed by Congress on July 30, 2002 to implement changes in federal securities regulation, corporate governance, and the regulation of auditors. This far-reaching legislation was in response to the flurry of accounting scandals beginning, most notably, with the Enron/Andersen debacle.

The entities regulated by this Act are:

- Registered public accounting firms
- Publicly traded companies
- Companies in the process of registering securities under the Securities Act of 1933

Entities that are not directly affected, but may face future or indirect impact of the Act include:

- Private companies that may go public in the future
- Private companies that may be acquired by public companies
- Private companies in states considering adopting parallel legislation

This act identifies criminal actions that will be prosecuted under this act:

- Title VIII of Sarbanes-Oxley: Corporate and Criminal Fraud Accountability Act of 2002 makes it a felony to knowingly destroy or create documents to impede, obstruct, or influence any existing or contemplated federal investigation.
- Title IX of Sarbanes-Oxley, also known as the White Collar Crime Penalty Enhancements Act of 2002: Makes it a crime to tamper with a record or otherwise impede any official proceeding.

Organizations governed by the Sarbanes-Oxley Act must demonstrate good faith, prudence, and care in retaining records. They must document that similar records are treated in a similar manner in accordance with good recordkeeping practice.

The 4 Pillars of Sound Records Management

The four pillars of a sound records management policy are: consistency, accountability, adoption, and accessibility.



David Langevin, Iron Mountain (r.) greets newcomer Marc Einfalt, ConfiData.

Consistency – All units must follow established policies and procedures.

Accountability – There must be significant organizational commitment to records management including the appointment of a compliance officer (Corporate Records Manager) and a steering committee composed of individuals from the legal department, information technology, and finance.

Adoption – Make sound records management principles a part of standard business processes. Provide employee training and develop a compliance program.

Accessibility – Two steps must be taken: consolidate records management systems and establish standard identification conventions for records in all media. A universal view of multiple mixed-media would include paper records. A focus on e-records for evidentiary or compliance reasons is vital. Courts are not sympathetic to excuses about difficulties in obtaining information. Describe records well enough to be retrieved even years later. Create common and logical indexing procedures to improve accessibility.

Additional Resources

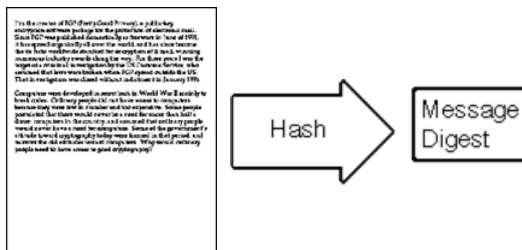
Many thanks to David Langevin for providing us with an interesting and informative session on two very important topics. Many thanks also to Iron Mountain for sponsoring this program. Tap into more than 50 years of experience and expertise at the Iron Mountain Website. Visit their Resources page at <http://www.ironmountain.com/resources/index.asp> to locate documents, white papers, articles, case studies, and other informative materials.

Digital Signatures

Continued from page 1

documents and other data. A digital signature is a “stamp” Bob places on the data which is unique to Bob, and is very difficult to forge. In addition, the signature assures that any changes made to the data that has been signed can not go undetected.

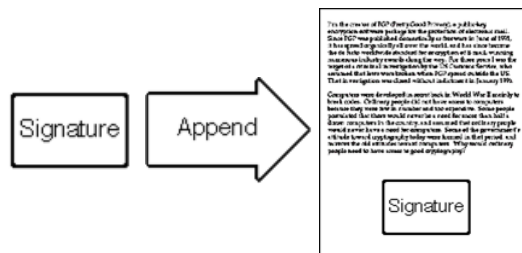
To sign a document, Bob’s software will crunch down the data into just a few lines by a process called “hashing”. These few lines are called a message digest. (It is not possible to change a message digest back into the original data from which it was created.)



Bob’s software then encrypts the message digest with his private key. The result is the digital signature.

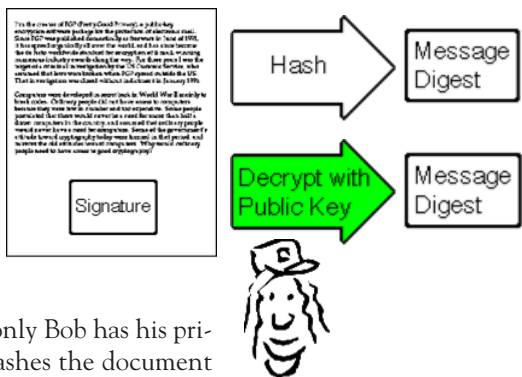


Finally, Bob’s software appends the digital signature to document. All of the data that was hashed has been signed.



Bob now passes the document on to Pat.

First, Pat’s software decrypts the signature (using Bob’s public key) changing it back into a message digest. If this works, then it proves that Bob signed the document, because only Bob has his private key. Pat’s software then hashes the document data into a message digest. If the message digest is the same as the message digest created when the signature was decrypted, then Pat knows that the signed data has not been changed.

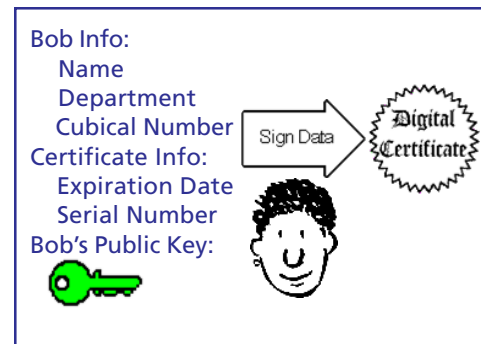


Plot Complication

Doug (our disgruntled employee) wishes to deceive Pat. Doug makes sure that Pat receives a signed message and a public key that appears to belong to Bob. Unbeknownst to Pat, Doug deceitfully sent a key pair he created using Bob’s name. Short of receiving Bob’s public key from him in person, how can Pat be sure that Bob’s public key is authentic?



It just so happens that **Susan** works at the company’s certificate authority center. Susan can create a digital certificate for Bob simply by signing Bob’s public key as well as some information about Bob —



Now Bob’s co-workers can check Bob’s trusted certificate to make sure that his public key truly belongs to him. In fact, no one at Bob’s company accepts a signature for which there does not exist a certificate generated by which there does not exist a certificate generated by Susan. This gives Susan the power to revoke signatures if private keys are compromised, or no longer needed. There are even more widely accepted certificate authorities that certify Susan.

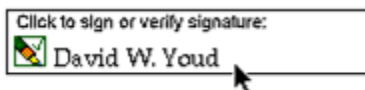
Let’s say that Bob sends a signed document to Pat. To verify the signature on the document, Pat’s software first uses Susan’s (the certificate authority’s) public key to check the signature on Bob’s certificate. Successful decryption of the certificate proves that Susan

story continues on next page

created it. After the certificate is de-encrypted, Pat's software can check if Bob is in good standing with the certificate authority and that all of the certificate information concerning Bob's identity has not been altered.

Pat's software then takes Bob's public key from the certificate and uses it to check Bob's signature. If Bob's public key de-encrypts the signature successfully, then Pat is assured that the signature was created using Bob's private key, for Susan has certified the matching public key. And of course, if the signature is valid, then we know that Doug didn't try to change the signed content.

Although these steps may sound complicated, they are all handled behind the scenes by Pat's user-friendly software. To verify a signature, Pat need only click on it.



(c) 1996, David Youd
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Post-Standard Reporter Wins CNY ARMA Public Awareness Award

Post-Standard reporter Charley Hannagan has been awarded a CNY ARMA Public Awareness award. A plaque, presented in absentia at the annual meeting in May, was presented to Ms. Hannagan for her article on the Carrier Corporation records management program. The article offered insight into all that the field of records management encompasses and provided a positive description of the real contributions RIM professionals make to their organization.

CRM
NOW

by Holly Murphy, CRM

It certainly is that time of year. It is getting dark earlier, temperature is more cool than not; and animals, including humans, are planning for hibernation that the winter snows encourage. To fight this seasonally created "slow down time" we must find interesting, creative and fun things to move our brains and our bodies. For the bodies we have raking, stockpiling wood and one of my personal favorites — clearing falling leaves out of the gutters. For the brain we have the Certified Records Managers Examination questions, of course. Think of this short quiz as weight training for the brain. Remember, for further information about the exams and the Institute of Certified Records Managers, the website is www.icrm.org. Now on to the questions.

PART 1 Management Principles and the Records & Information Management Program

- The person widely known for his/her pioneer study of the production function in business and also recognized as the founder of scientific management is:
 - Frank Gilbreth
 - Lillian Gilbreth
 - William H. Leffingwell
 - Henri Fayol
 - Frederick W. Taylor

PART 2 Records Creation and Use

- The Gunning Fog Index is a formula that is used to measure:
 - The accuracy of the reports functional index.
 - The accuracy of written communications.
 - Reading difficulty of written communication.
 - Vesicular limits in microfilm density.
 - All of the above.

PART 3 Records Systems, Storage, and Retrieval

- The file guide was created and designed primarily to:
 - Make the file look neat.
 - Aid in "fingering" through scores of folders.
 - Point out the way.
 - Stress the need for rapid recall of alphabet and numbers.
 - Do all of the above.

PART 4 Records Appraisal, Retention, Protection, and Disposition

- The primary objective of a vital records program is to:
 - Prove to regulatory authorities that a program has been established.
 - Establish which records should be transferred to the records center.
 - Satisfy insurance requirements.
 - Enable the organization to continue business in the event of a disaster.
 - Establish record retention period criteria for a retention center.

PART 5 Facilities, Equipment, Supplies and Technology

- Which of the following type of microform is normally suggested for high volume infrequently referred to records?
 - Roll film.
 - Cartridge microforms.
 - Records in cassette form.
 - Aperture cards.
 - Microfiche.



Answers on page 6



In the News

by Patricia Franks

The Justice Department said on Sept. 30, 2003, that it had begun a full investigation into whether Bush Administration officials illegally disclosed the name of an undercover C.I.A. officer to journalists. The White House directed its staff to cooperate. Over 2,000 White House employees were given until Oct. 7, to come forward with any documents that might help the investigation into the leak of an undercover CIA officer's identity or to sign a memo certifying that they have no such documents. The order covers materials such as electronic records, telephone logs, correspondence, computer records, notes, and calendar entries.

The Justice Department instructed the White House to preserve all records relating to the case, including any involving contacts with three journalists: Robert D. Novak, the syndicated columnist who first reported the name of the intelligence officer in July; and two reporters for Newsday, Timothy M. Phelps, the Washington bureau chief of the newspaper, and Knut Royce.

"Do-not-destroy" letters are also expected to be sent by the Justice Department to the Defense and State Departments, and possibly to others, requesting preservation of phone logs, e-mails, and other documents that could become evidence in the inquiry.

In the next column is the text of an e-mail that Alberto R. Gonzales, White House counsel, sent to White House staff members on Sept. 30. The memo was sent by the White House in a news release.

PLEASE READ: Important Message From Counsel's Office

We were informed last evening by the Department of Justice that it has opened an investigation into possible unauthorized disclosures concerning the identity of an undercover CIA employee.

The Department advised us that it will be sending a letter today instructing us to preserve all materials that might be relevant to its investigation. Its letter will provide more specific instructions on the materials in which it is interested, and we will communicate those instructions directly to you. In the meantime, you must preserve all materials that might in any way be related to the Department's investigation. Any questions concerning this request should be directed to Associate Counsels Ted Ulyot or Raul Yanes in the Counsel to the President's office. The President has directed full cooperation with this investigation.

*Alberto R. Gonzales
Counsel to the President*

Information for this article was taken from articles published in the following newspapers: The Boston Globe, 10/5/03 (http://www.boston.com/news/nation/washington/articles/2003/10/05/deadline_looms_in_cia_leak_probe/) and the NYTimes, 9/30/03 (<http://www.nytimes.com/2003/09/30/politics/30WIRE-LETT.html>).

News from...

CNY ARMA Members

Gene Garback of CSM, Inc. now has his Certified Document Imaging Architech (CDIA+) designation. CompTIA's CDIA+ certification is a global standard of competency and professionalism in the document imaging and management industry. Supported by a network of industry leaders, it validates a professional's level of expertise in the technologies and best practices used to plan, design and specify a document imaging/management system.

News from...

CNY ARMA Member Institutions

CSM, Inc. recently completed a document imaging project for the National Cable and Telecommunications Association (NCTA) based in Washington, D.C., the principal trade association of the cable television industry in the United States. The project involved scanning in various documents from companies that had their records seized by the NCTA and law enforcement agencies. These companies were marketing and selling illegal cable TV decoder boxes throughout the United States. The documents scanned included invoices, credit card receipts, notes, etc. and represented transaction records of individuals who were purchasing illegal cable TV decoder boxes and stealing cable services. The documents were indexed by zip code and placed on both CD-ROM as well as DVD.

When the project was finished, the NCTA provided all the cable companies (Time Warner, Comcast, Cox Communications, etc.) with copies of the invoice databases so each of the cable companies could then pursue further action against the individuals who had purchased these decoder boxes.

answers to
CRM questions
on page 5

1.e.
2.e.
3.c.
4.d.
5.a.

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Over 1600 Attendees from all over the world

by Dianne Hagan

The ARMA 2003 Conference was a resounding success! Over 1600 registrants met in Boston, MA to network and learn as well as take in the sights, sounds and tastes of bustling Boston. This year's **vendor exhibit hall** was the largest ever! There was something for everyone! I began the conference on Friday morning by attending the **Board meeting** and reporting on the progress of the Communications Advisory Committee. Preconference sessions were in full swing. Then Saturday included the **region and chapter leadership meetings** and Sunday included the ISG or **Industry Specific Group meetings**. Sunday also included an informative **Town Hall meeting** where attendees could ask questions of the Board and HQ staff about the association and then the **educational sessions** began. Sunday evening 50 people from the Northeast Region met, thanks to the Metro NYC Chapter, for **dinner and networking**. Monday began with **opening ceremonies and keynote speaker** William Hooton, Deputy Executive Assistant Director, Office of Records Management at the FBI. **More educational sessions**

followed along with the Candidate's Forum where attendees could ask the candidates questions. The **Awards Banquet** was Monday evening, and I am proud to say that although the CNY Chapter came home with no awards this year, our President, **Eileen Keating**, stood proud when all the Chapter Members of the Year were announced. Another close colleague who attended our CNY ARMA vendor shows in the past, Preston Shimer, was named to the Company of Fellows. After being a practitioner for many years with Rockwell, Preston moved to Zasio Inc. to help design, develop and sell Versatile records management software. When he retired a couple of years ago, he became the administrator of the ARMA Education Foundation — still active and helping other records managers after all these years! Tuesday and Wednesday were chock full of **more educational sessions**, including **poster sessions**, a new concept at the conference. Our own **Pat Franks** was one of the poster session presenters. **Steve Goodfellow** also presented on Tuesday morning. There was also a **post-conference session** held on Thursday — again a concept new to this conference — this time for the financial services companies to learn about RIM and Sarbanes-Oxley. So, all in all, a great time was had by all including this Immediate Past President!

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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Submitted by Edward L. Galvin, Treasurer
October 16, 2003

Balance as of 8/27/03 \$2002.47

INCOME:

Escrow (Membership) \$ 105.00
September Meeting Revenue \$ 280.00
Escrow \$.. 35.00
Total Income \$420.00

EXPENSES:

Donation - Etherington Fund \$ 25.00
Impress Pubs / Sept Newsletter \$ 275.65
Public Awareness Award \$ 34.64
September Meeting Costs \$ 411.44
Total Expenses \$746.73

Balance as of 10/16/03 \$1675.74





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Amtek has a 23 year history of providing document management services, as well as designing and implementing data and information capture systems. We currently service organizations nationwide and in virtually all sectors of the business community.

Our focus is on understanding your business and your unique requirements, then developing targeted solutions and compatible strategies that work . . . now and in the future . . . to address your needs.

SERVICES

-
- | | | |
|-----------------------|------------------------------|---------------------------------|
| ◆ Document Scanning | ◆ Back File Conversions | ◆ Data Entry |
| ◆ Film Scanning | ◆ Day Forward Conversions | ◆ System Design and Integration |
| ◆ Document Management | ◆ Data Conversions | ◆ Application Service Provider |
| ◆ Facility Management | ◆ Media to Media Conversions | ◆ Remittance Processing |

SALES – IMAGING SYSTEMS HARDWARE AND SOFTWARE

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- | | | |
|-------------------|-----------------|----------------|
| ◆ Scanners | ◆ Data Capture | ◆ Data Storage |
| ◆ PC Workstations | ◆ Image Capture | ◆ Work Flow |
| ◆ Servers | ◆ OCR / ICR | ◆ COLD / ERM |

REGULATORY COMPLIANCE

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- | | | |
|----------------------------|----------------------------|---------|
| ◆ Email Message Management | ◆ Electronic File Tracking | ◆ HIPAA |
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