

**FALL 2002 WORKSHOP**

- Tuesday, October 8
- The Conference Center and Inn at Clemson University
- \$75 Members  
\$90 Non-Members
- Registration form page 7

## Fall Workshop

### David O. Stephens featured speaker

The Greenville Area ARMA Chapter is pleased to welcome David O. Stephens to headline its Fall 2002 Workshop, to be held Tuesday, October 8 at The Madren Conference Center at Clemson University. Stephens is much in demand as a consultant and speaker, and we are fortunate to have him address our group in October on three timely topics:



David O. Stephens

**The Enron-Andersen Affair: Lessons Learned**

Never before, in the long history of American business, has a great global corporation been literally destroyed because of illegal records retention and destruction activities. And yet this is exactly what happened to Arthur Andersen LLP, until recently one of the world's preeminent public accounting firms. This presentation is a case study relating what happened to this company and why. The presentation concludes with the lessons to be learned by records and information specialists, as well as some policy recommendations designed to mitigate the legal risks associated with document retention and destruction.

**September 11th: The Records Management Implications**

Vital records protection and disaster recovery planning have been key components of the records management discipline for many years. However, in the wake of the horrific events of September 11, 2001,

these essential asset protection initiatives take on a whole new meaning and urgency. This presentation reviews the records management implications of this tragedy, and concludes with the most important lessons to be learned by anyone in organizational life who has responsibility for the protection of records and information of mission-critical value.

**Electronic Records Retention: New Strategies for Data Life Cycle Management**

Records management specialists have developed and implemented records retention programs for many years. However, these initiatives have been mostly built around physical records. The great majority of computer-based record keeping systems have been implemented without a pre-defined methodology for the systematic disposal of expired data under formal records retention policies and practices. In this presentation, the speaker will introduce this subject, provide the audience with a business case justifying why electronic records retention is needed to manage the life cycle of data, and concludes with some basic principles related to these initiatives.

**Inside this issue:**

President's message	2
Installation of Officers	2
Scholarship Award	3
Member Profile – Kevin Hutchins	3
Board Highlights	4
Enron Aftermath Affects Records Management	5
Calendar of Events	8

Please see page 6 for further details on the Fall Workshop!

# THE ARM

*The Newsletter of the Greenville Area Chapter of ARMA*

Volume 2002  
Issue II

*The ARM* is a bi-monthly publication of the Greenville Area Chapter of ARMA International. It is distributed online via email to chapter members and is available on the world wide web at [www.armamar.org/GA/newsletters](http://www.armamar.org/GA/newsletters). Content is the property of the Greenville Area Chapter of ARMA and may not be reproduced without permission. Hardcopies of the newsletter are available by contacting the editor.

Editor: Marce Zaragoza  
[mzaragoza@greenvillecounty.org](mailto:mzaragoza@greenvillecounty.org)

## Members of the Board

Jinny Moran, President  
Brenda Hatton, Vice President  
Carole Barnwell, Secretary  
Ann Griggs, Treasurer  
Tim Bater, Board Member  
Janice Bowens, Board Member  
Marce Zaragoza, Board Member

## Committees and Chairs

CRM/ISG Liaison:	Mike Kohl
Education Committee:	Lucy Quinn
Hospitality Committee:	Isaac Wallace
Library Committee:	Judie Long
Membership Directory:	Greg Scott
Membership/Recruiting:	Tim Bater
Newsletter and Website:	Marce Zaragoza
Nominations Committee:	Janice Bowens
Program Committee:	Brenda Hatton
Public Relations Committee:	Jinny Moran

Publisher: ARMA  
Greenville Area Chapter  
P. O. Box 61  
Greenville, SC 29602

## *A Message from the President*

As we embark on this new year, I first want to thank all the board members, committee chairs and all our members for their dedication and commitment to ARMA and the Greenville Area Chapter. Serving as president this past year afforded me the opportunity of meeting new people and also networking with colleagues on similar issues and problems. The association we have with knowledgeable and intelligent records professionals is invaluable to each of us and our employers. The information and records management profession is now, more than ever, a crucial part of an organization's operation.

I extend a Special Welcome to our new members that have recently joined ARMA and our local chapter. Some of you have already stepped up to the challenge of serving in a leadership role this year, and your efforts and enthusiasm are appreciated. We do have a need for others to assist on some of our committees. If anyone is interested, please contact me.

We have many informative and exciting events planned for this coming year. See the page where our FY2003 calendar of events is listed. I am looking forward to seeing you at our chapter events throughout this coming year.

*Jinny*

## Installation of Board Members

At the June meeting, FY 2002 Board members were recognized and new officers installed for FY 2003. Greg Scott eloquently handled the honors, reminding attendees of how keys were valued by their inventors, the Egyptians. He continued the metaphor, explaining that, as today we have keys for everything of importance, he, too, had keys for these "key" members of our organization. As Greg charged each officer with the duties of their respective office, he handed each a special key as a symbol of their key responsibilities to the chapter. The Board would like to thank Greg for making the ceremony special and memorable.

A special thanks goes out to Spartanburg County and Diane Walker for hosting the June meeting.

## Welcome New Member!

This month, the Greenville Area Chapter is pleased to welcome Tim Bater of Starpoint Systems as a member. Tim has agreed to take on the position of Membership and Recruiting Chair. We hope you will extend him a warm welcome and your assistance in carrying out his duties. Tim will be featured in a future issue of *The ARM*.



Janice Bowens, Marce Zaragoza, Lucy Quinn, Ann Griggs, Carole Barnwell, Jinny Moran and Greg Scott.

## Andrea Scott 2002 Scholarship Award Recipient

At its May meeting, the Greenville Area Chapter of ARMA presented its scholarship award to Andrea Scott, the daughter of member Gregory Scott. The award was presented by Scholarship Committee chair Lucy Quinn to Greg, who was proud to accept the \$300 check on behalf of his deserving daughter.

Andrea is a 1999 graduate of Mauldin High School and has been attending Greenville Technical College in the college transfer program. In the fall semester, she will begin her studies at Georgia State University, where she will major in communication with a minor in business. After graduation, she would like to work in public relations before attending law school to fulfill her goal of becoming a lawyer.

While attending school is enough for many, Andrea additionally holds down a part-time job, is active in her church, and pursues her

hobby of singing and songwriting. Andrea has copyrights on more than 20 songs that she has written and sings, and she has recorded three of these songs on CD. She hopes to someday have some of her songs published.

When asked for his feelings about his daughter's scholarship award, Greg said, "My wife, Hester, and I are very proud of Andrea. She is a hard worker and has displayed this quality by working part-time the entire time she has attended Greenville Technical College. We feel with her drive and her fearlessness toward working hard for what she wants, she will accomplish her goals. Hester, Andrea and I would like to thank Lucy Quinn, ARMA's board and members for this award. We assure you all that this money will be put to good use as Andrea continues her education."



Scholarship award recipient Andrea Scott.

## Member Profile: Kevin P. Hutchins lands in Greenville Area Chapter

Kevin Hutchins has followed a different path into the information management field than most ARMA members. Or perhaps we should call it a "flight path."

Kevin began flying at the age of 14 in Boca Raton, Florida, where he was raised. He joined the United States Air Force in 1974, where he was a crew chief on the SR-71 Blackbird, F-4E Phantom, and the A-10 Warthog. In 1978, he was selected for the Air Force Flight Engineer program and attended flight school.

In 1985, Kevin began flying with Southern Air Transport, which worked very closely with the Department of Defense and the State Department. While with SAT, he was assigned to the Nicaraguan Contra re-supply mission, and worked in South America, Africa, the Middle East, Europe and the South Pacific. After flight duty in both Desert Shield and Desert Storm, Kevin retired from active flying.

After a well-deserved rest, Kevin accepted a position at Lockheed Martin in Greenville, where he is a Quality Information and Records Coordinator, a Quality Assurance Engineering Supervisor, and a Certified Manager in the Aircraft Inspection Department.

In his spare time, Kevin currently is a volunteer pilot with the US Air Force Auxiliary/Civil Air Patrol. There he serves as a Mountain Qualified Search and Rescue pilot, USAF ROTC Cadet orientation pilot for the Clemson ROTC students, Civil Air Patrol Cadet orientation pilot, and aerospace education teacher.

Kevin's wife of 18 years, Brenda, and his children, Eric, Ryan and Will, ages 16, 14 and 11, provide him with solid grounding.



We need your contributions! If you have a contribution you would like to make toward *The ARM* — whether it be an article you have written, an idea for an article or point of interest for other members, photos, etc. — please send it to Marce Zaragoza at [mzaragoza@greenvillecounty.org](mailto:mzaragoza@greenvillecounty.org). Your input and contributions will be greatly appreciated!

## Board Meeting Highlights

The monthly ARMA board meetings often result in changes which affect the entire chapter. All members are welcome to attend. The Board has voted to change meeting times from the first Thursday of the month to the second Tuesday of the month in order to coincide with chapter meetings. On occasions when we have a speaker, the board meeting will be held before or after the presentation. On months without a speaker, meeting times and locations will be announced on our website, <http://www.armamar.org/GA/>.

Following is a summary of some of the recent motions and discussions from recent board meetings.

### June 2002 Board Meeting

- Marce Zaragoza will work with the mid-Atlantic webmaster on creation and maintenance of our chapter website.

- President Jinny Moran suggested that the Chapter pursue national ARMA awards such as Small Chapter of the Year. This would involve the chapter pursuing community service opportunities. Those present agreed to investigate possibilities.



Janice Bowens, Ann Griggs, and Tim Bater

### July 2002 Board/Planning Meeting

- The Nominations Committee, headed by Janice Bowens, will plan to start the nomination process in January 2003.
- Community service opportunities were discussed, including:
  - Fundraisers, proceeds of which would be donated to charity.
  - Book drive and/or library setup, possibly for a women's shelter.

The board thanks Clemson University for their hospitality and Isaac Wallace for his hard work in hosting the meeting and making such excellent arrangements.

### August 2002 Board Meeting

- The finalized schedule of events for FY 2003 was presented (see page 7).

## Treasurer's Report

The summary of the treasury for the Greenville Area Chapter of ARMA as of the August 2002 board meeting is as follows:

<i>Expenditures:</i>	<i>\$454.94</i>
<i>Revenue:</i>	<i>\$121.03</i>
<i>Checking Balance:</i>	<i>\$2,881.89</i>
<i>CD Balance:</i>	<i>\$2,668.00</i>
<i>End Balance:</i>	<i>\$5,572.89</i>



## We're on the Web!

Please be sure to check out the Greenville Area Chapter's website for news and updates! We are working to make our website one of ARMA's best! We currently have plans to feature a chapter history, upcoming events, a member list, past and current newsletters, and information on the scholarship program. If you have suggestions on additional features for our website, please send them to Marce Zaragoza at [mzaragoza@greenvillecounty.org](mailto:mzaragoza@greenvillecounty.org).



# Enron Aftermath Affects Records Management

## Summary of Provisions in H.R. 3763, the Sarbanes-Oxley Act of 2002, Relating to Documentation

H.R.3763, the Sarbanes-Oxley Act of 2002, signed by President Bush on July 30, 2002, attempts to address many of the issues raised by the Enron and Arthur Andersen matters. The law creates a new oversight board for accounting firms auditing publicly traded companies. It also addresses auditor independence; corporate responsibility at publicly traded companies, financial disclosures of publicly traded companies, and conflicts of interests of financial analysts. The new law also creates protections for "whistleblowers" at publicly traded companies and imposes new criminal penalties relating to fraud, conspiracy, and interfering with investigations.

In summary, Sarbanes-Oxley imposes new safeguards on public accounting firms that want to audit publicly traded companies, publicly traded companies, and firms with securities analysis and investment banking functions. The Act also amends Chapter 73 of title 18 of the U.S. Code dealing with obstruction of justice within the context of crimes and criminal procedure. These amendments, which may apply to any person who violates the new sections to Chapter 73, are summarized:



- Imposes a fine and/or imprisonment of not more than 20 years for "whoever knowingly alters, destroys, mutilates, conceals, covers up, falsifies, or makes a false entry in any record, document, or tangible object with the intent to impede, obstruct, or influence" an investigation or proceeding by a federal department or agency or any case filed in bankruptcy. See new Section 1519 of title 18 of the U.S. Code.

- Imposes a fine and/or imprisonment of not more than 10 years for the failure of any accountant who conducts an audit of a publicly traded company to "maintain all audit and review workpapers for a period of 5 years from the end of the fiscal period in which the audit or review was concluded." See new Section 1520 of title 18 of the U.S. Code. But note that new subsection 1520(b) applies the fine and/or imprisonment to "whoever knowingly violates" the duty imposed on any accountant, leaving some question as to the applicability of this new section of Chapter 73.

- Creates "whistleblower" protections for employees who, among other things, lawfully "provide information, cause information to be provided, or otherwise assist in an investigation regarding any conduct which the employee reasonably

believes" violates specific sections of the U.S. Code or any rules or regulations of the SEC. See new Section 1514A of title 18 of the U.S. Code.

- Imposes a fine and/or imprisonment for not more than 20 years for anyone who "corruptly alters, destroys, mutilates, or conceals a record, document, or other object, or attempts to do so, with the 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." See amended Section 1512 of title 18 of the U.S. Code.

Web posted 8/6/2002 [http://www.arma.org/news/08\\_06\\_2002.cfm](http://www.arma.org/news/08_06_2002.cfm)



Education,  
Research &  
Networking  
for Information  
Professionals

ARMA International

Greenville Area Chapter

# Fall Workshop 2002

Tuesday  
October 8  
8:30 am-4:00 pm

The Conference  
Center and Inn  
at Clemson  
University

\$75 Members  
\$90 Non-Members

**SEATING IS  
LIMITED!**

**PLEASE  
REGISTER  
EARLY!**

**Registration  
form on  
next page**



**The Enron-Andersen Affair: Lessons Learned**

**September 11th: The Records Management Implications**

**Electronic Records Retention: New Strategies for Data Life Cycle Management**

**Featured Speaker: David Stevens, CRM, CMC  
Zasio Enterprises, Inc.**



David Stevens, former president and CEO of ARMA International, is an internationally recognized authority in the field of records and information management. He has over thirty years' experience in the field and has developed or improved records management programs for more than two hundred corporations and government agencies throughout the United States. He is a leading authority on the international aspects of records management and has lectured or consulted in some twenty countries in Latin America, Europe, Asia, and the South Pacific. He is co-author of the fourth edition of the book *Information and Records Management*, which is generally regarded as the standard reference work on records management in North America, and he formerly served as contributing editor of *The Information Management Journal*. He conducts lectures on advanced records management topics at The George Washington University. David Stevens was awarded status as a Certified Management Consultant by the Institute of Management Consultants in 1992.

## **DIRECTIONS:**

### **From the North**

Take I-85 south to exit #19B (Hwy. 76/28 west). Exit toward Clemson University (tiger paws mark the way). Follow Hwy. 76/28 west for approximately 12 miles. At the traffic light by the Army Reserve Center, turn left onto Perimeter Road. Go approximately one mile to the first traffic light and turn left onto Cherry Road. Go 1/2 mile and take the first right onto Old Stadium Road. Go 1/3 mile and turn left onto Madren Center Drive, which leads to the center.

### **From the South**

Take I-85 north to exit #14 (Hwy. 187). Turn left onto Hwy. 187 toward Pendleton and proceed approximately six miles to traffic light at intersection with Hwy. 76/28. Turn left and follow Hwy. 76/28 west for approximately six miles. At the traffic light by the Army Reserve Center, turn left onto Perimeter Road. Go approximately one mile to the first traffic light and turn left onto Cherry Road. Go 1/2 mile and take the first right onto Old Stadium Road. Go 1/3 mile and turn left onto Madren Center Drive, which leads to the center.

ARMA International

Greenville Area Chapter

## Fall Workshop 2002 REGISTRATION FORM

**Tuesday  
October 8  
8:30 am-3:30 pm**

**Registration Fee  
(includes  
breakfast,  
program, and  
lunch):**

**\$75 Members  
\$90 Non-  
Members**

**Group Rate:  
Three or more  
attendees from  
the same  
organization may  
attend at the  
Member rate  
(please send all  
registrations and  
payment  
together).**

**Space is limited! Please register early!  
Registration Deadline: September 27, 2002**

Name \_\_\_\_\_ Informal Name (for badge) \_\_\_\_\_

Organization \_\_\_\_\_ Title \_\_\_\_\_

Street Address \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Phone No. \_\_\_\_\_ Fax No. \_\_\_\_\_ Email address \_\_\_\_\_

ARMA Member? Yes  No

Please print and mail this form with your check made payable to  
"Greenville Area ARMA" to

Jinny Moran  
Department of Public Safety  
Records Division—Suite 119  
4 McGee Street  
Greenville, SC 29601



Cancellations: A full refund will be honored if cancellation is made on or before October 1, 2002. After that date, no refund will be given, however substitutions are acceptable and encouraged. The Greenville Area ARMA Chapter is not responsible for program changes.

## CALENDAR OF EVENTS

<b>SEPTEMBER 10</b>	<b>BOARD MEETING</b>
<b>OCTOBER 8</b> (DETAILS ON PAGE 6)	<b>DAVID O. STEPHENS, CRM, CMC</b> The Enron-Andersen Affair: Lessons Learned September 11th: The Records Management Implications Electronic Records Retention: New Strategies for Data Life Cycle Management
<b>NOVEMBER 12</b>	<b>JAY TOTHACER, GREENVILLE COUNTY ATTORNEY</b> Freedom of Information Act <i>Greenville Country Club</i>
<b>DECEMBER 3</b> (EVENING)	<b>HOLIDAY GET-TOGETHER (SPOUSES INVITED)</b> <i>Greenville Country Club</i>
	<b>MIKE COLLINS, ED.D., GREENVILLE TECHNICAL COLLEGE</b> Life can be Fantastic!!! How to Enjoy a Balanced Life
	<b>AWARDS PROGRAM</b>
<i>2003</i>	
<b>JANUARY 14</b>	<b>BOARD MEETING</b>
<b>FEBRUARY 11</b>	<b>BOARD MEETING</b>
<b>MARCH 18</b>	<b>DAVID WOOD, HIPAA CONSULTANT</b> HIPAA Compliance Workshop Health Insurance Portability and Accountability Act of 1996 <i>Greenville Country Club</i>
<b>APRIL 10</b>	<b>BOARD MEETING</b>
<b>MAY 13</b>	<b>BMW TOUR (TENTATIVE)</b>
<b>JUNE 10</b>	<b>CLEMSON UNIVERSITY</b> Tour of Special Collections and Records Management

All members are welcome and encouraged to attend board meetings.  
On those days when we feature a speaker,  
board meetings will be held before or after the presentation.



*ARMA International  
Greenville Area Chapter*

---

P. O. Box 61  
Greenville, SC 20602  
Phone: 864.467.5202  
Fax: 864.467.5113  
Email: jmoran@greenvillecounty.org

---

**WE'RE ON THE WEB!**  
**WWW.ARMAMAR.ORG/GA**

---

*ARMA International is a not-for-profit association serving more than 10,000 information management professionals in the United States, Canada, and over 30 other nations.*

*ARMA International members include records and information managers, archivists, corporate librarians, imaging specialists, legal professionals, knowledge managers, consultants, and educators.*

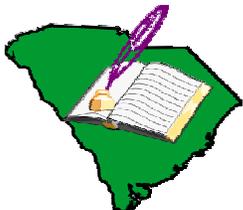
*At ARMA International, we recognize that information is a vital asset of every organization. Our vision is to provide leadership in education, research and networking for the benefit of information professionals.*

*Membership in the Greenville Area Chapter of ARMA is open to anyone in the South Carolina Upstate looking to broaden their knowledge and contacts in the information management field.*

---

**Records and Information  
Management Specialist Certificate  
Available through  
Distance Education**

Chippewa Valley Technical College in Eau Claire, Wisconsin, is pleased to share with ARMA members an opportunity to earn a certificate in Records and Information Management through distance learning. The series of five three-credit courses may be taken at home and at your own pace, and may be applied toward a baccalaureate degree subject to the approval of the baccalaureate institution. Additionally, two of ARMA's courses in Records and Information Management may substitute for two certificate courses. You can contact the college at 1.800.518.9211, or visit their website at [www.cvtc.edu](http://www.cvtc.edu) for further information on courses, costs, and registration procedures.



**SCPRA 7th Annual State Conference**

The South Carolina Public Records Association is planning an exciting conference at Myrtle Beach, November 6-8, 2002. Among the topics to be covered are:

- Freedom of Information of Act
- Legal Issues in Records Management: Myths and Realities
- Records storage and Budget Funding Issues? Considering some options!
- "Building Bridges To Success" Teams in the Workplace
- Criminal History Records – Are they open to the public?

This conference is appropriate for records and information professionals from the public sector including state agencies, county and municipal agencies, court systems, local school systems, colleges and universities. For further details and registration information, please visit their website at <http://www.scpa.org/>.