

Here are instructions on how to encrypt a Microsoft Excel Spreadsheet
(Requires MS Office version 2002, a.k.a. Office XP, and newer)

Using Microsoft Excel, open the spreadsheet that you want to Encrypt.

| | B | C | D | E | F | G |
|----|--------|-------------------|---|---|---|---|
| 1 | School | Compliance Area | | Compliance Risk | | |
| 2 | | | | | | |
| 3 | A | Research | | Faculty Effort: Not delivering % research effort committed and charged, due to other effort | | |
| 4 | A | Research | | Faculty Effort: Over or under reporting to sponsors on effort actually charged | | |
| 5 | A | Research | | Faculty Effort: Failure to capture and properly treat committed cost sharing | | |
| 6 | A | Research | | Faculty Effort: Failure to obtain advance approval for significant reductions in effort | | |
| 7 | A | Research | | Improper direct charging of administrative and clerical costs | | |
| 8 | A | Research | | Inadequate expense allocation to multiple grants for original purchases or on transfers | | |
| 9 | A | Research | | Other (non-effort) cost sharing deficiencies and shortfalls | | |
| 10 | A | Research | | Inadequate management of Service Centers and Specialized Service Facilities | | |
| 11 | A | Research/HR | | Improper handling of subcontracts (scope of work vs. vendor) and consultants (employee issues) | | |
| 12 | A | Research | | Failure to properly abide by NIH Salary Cap rules | | |
| 13 | B | Research | | Failure to properly and timely certify effort charged (including no suitable means of verification) | | |
| 14 | B | Research | | Not all staff involved in human subjects work properly trained (and poor training documentation) | | |
| 15 | B | Exports | | Difficulty in determining situations where "deemed exports" may occur (ITAR) | | |
| 16 | B | Exports | | Unwilling acceptance of contract provisions limiting publication or conduct of basic research | | |
| 17 | B | Col | | Failure to catch or properly manage faculty conflicts of interest | | |
| 18 | B | Col | | Inability to detect and avoid or manage institutional conflicts of interest | | |
| 19 | B | Gift Restrictions | | Failure to abide by all donor restrictions in the expenditure of gift funds | | |
| 20 | C | Research | | Failure to comply with all EPA rules involved in research laboratories, or inability to document compliance | | |
| 21 | D | IT | | Inadequate security of confidential information contained within university databases and networks, especially HIPAA | | |
| 22 | D | Research | | Inadequate subrecipient monitoring, especially for "non-university" subs | | |
| 23 | D | Research | | Faculty conflict of commitment: Not delivering effort committed and charged, due to private commitments | | |
| 24 | D | Governance | | Becoming caught up in Sarbanes-Oxley types of laws requiring huge commitments of resources to paperwork | | |
| 25 | D | Select Agents | | Inability to maintain safety and security of labs, transfer/handle materials, properly identify "restricted persons" | | |
| 26 | D | NCAA | | Inability to exercise proper "Institutional Control" of high profile Division I sports programs | | |
| 27 | D | Medicare | | Failure to follow Medicare billing rules, especially any instances of "overcoding" or "miscoding" (PATH II) | | |
| 28 | D | Immigration | | Inability to track and report on the status of non-citizens as required by SEVIS, Patriot Act | | |
| 29 | E | Col | | Lack of institution-wide Col policies, practices for governing boards, faculty, sr. officers and administrators | | |
| 30 | E | HR | | Lack of institution-wide HR policies, practices for hiring, non-exempt staff time recording, layoffs, terminations | | |
| 31 | E | Immigration | | Lack of institution-wide policies, practices for documenting eligibility to work (I-9) | | |
| 32 | E | GLB | | Lack of institution-wide policies, practices for complying with GLB | | |
| 33 | F | Research Mgmt | | Lack of institution-wide policies, practices for compliance with laws relating to research retention, open distribution | | |

Click on the Tools menu, click the Options tab, and then click the Security tab.

The screenshot shows the Microsoft Excel interface with the 'Options' dialog box open, specifically the 'Security' tab. The spreadsheet in the background has columns for 'School', 'Compliance Area', and 'Compliance Risk'. The 'Options' dialog box includes sections for file encryption, file sharing, digital signatures, and macro security. The 'Security' tab is selected, showing options to adjust the security level for files that might contain macro viruses and specify names of trusted macro developers.

| School | Compliance Area | Compliance Risk |
|--------|-----------------|--|
| A | Research | Faculty Effort: Not delivering % research effort committed and charged, due to other effort |
| A | Research | Research effort not charged |
| A | Research | Research sharing |
| A | Research | Research actions in effort |
| A | Research | Research or on transfers |
| A | Research | Research facilities |
| A | Research | Research tenants (employee issues) |
| B | Research | Research means of verification |
| B | Research | Research training documentation |
| B | Research | Research TAR) |
| B | Research | Research act of basic research |
| B | Research | Research inability to document compliance |
| B | Research | Research by databases and networks, especially HIPAA |
| B | Research | Research charged, due to private commitments |
| B | Research | Research commitments of resources to paperwork |
| D | Select Agents | Inability to maintain safety and security of labs; transfer/retrieve materials, properly identify "restricted persons" |
| D | NCAA | Inability to exercise proper "Institutional Control" of high profile Division I sports programs |
| D | Medicare | Failure to follow Medicare billing rules, especially any instances of "overcoding" or "miscoding" (PATH 9) |
| D | Immigration | Inability to track and report on the status of non-citizens as required by SEVIS, Patriot Act |
| E | Col | Lack of institution-wide Col policies, practices for governing boards, faculty, sr. officers and administrators |
| E | HR | Lack of institution-wide HR policies, practices for hiring, non-exempt staff time recording, layoffs, terminations |
| E | Immigration | Lack of institution-wide policies, practices for documenting eligibility to work (I-9) |
| E | GLB | Lack of institution-wide policies, practices for complying with GLB |
| E | Record Maint | Lack of institution-wide policies, practices for combination with laws relating to record retention, data destruction |

Click the advanced button. From the Encryption Type menu, scroll down and chose RC4, Microsoft Enhanced RSA and AES Cryptographic Provider (Prototype). Leave the Key Length set to 128 and the Encrypt document properties check box, checked. Click OK.

The screenshot shows the Microsoft Excel application window with the following data in the spreadsheet:

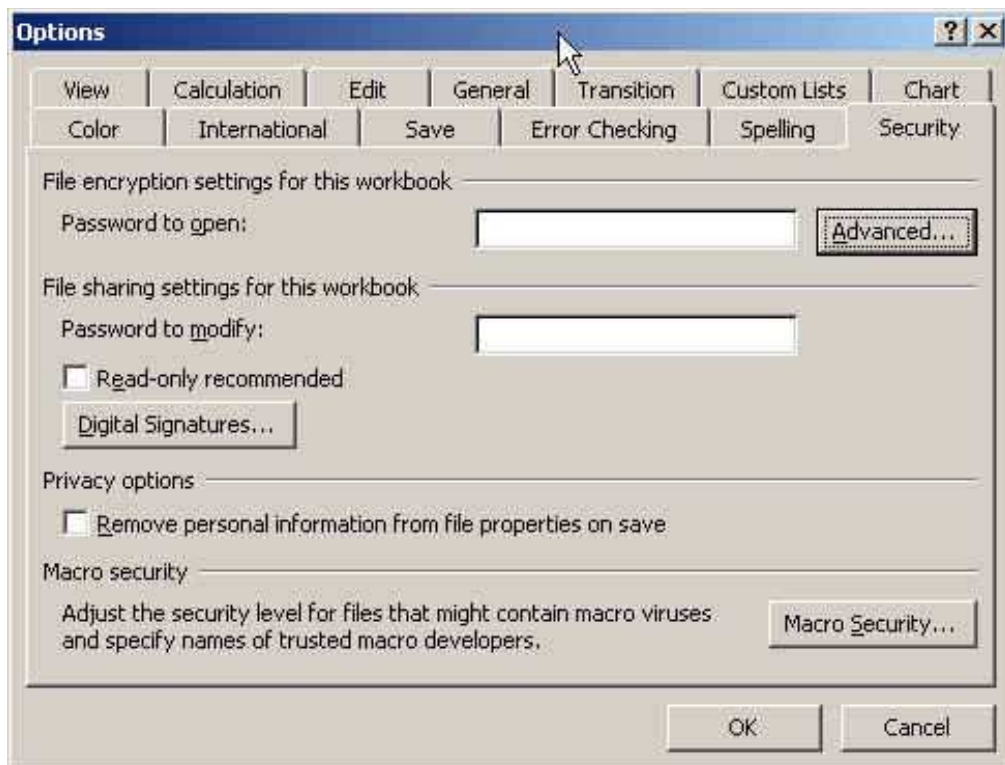
| B | C | D | E | F | G |
|--------|-----------------|---|---|---|---|
| School | Compliance Area | | Compliance Risk | | |
| A | Research | | Faculty Effort: Not delivering % research effort committed and charged, due to other effort | | |
| A | Re | | charged | | |
| A | Re | | sharing | | |
| A | Re | | actions in effort | | |
| A | Re | | or on transfers | | |
| A | Re | | ilities | | |
| A | Resu | | itants (employee issues) | | |
| A | Re | | means of verification) | | |
| B | Re | | training documentation) | | |
| B | Re | | TAR) | | |
| B | E | | act of basic research | | |
| B | E | | | | |
| B | Gift R | | inability to document compliance | | |
| B | Re | | by databases and networks, especially HIPAA | | |
| C | Re | | | | |
| D | Re | | ged, due to private commitments | | |
| D | Re | | mmittments of resources to paperwork | | |
| D | Gov | | | | |
| D | Select Agencies | | inability to maintain safety and security or rules, transmittance materials, properly identify "restricted persons" | | |
| D | NCAA | | Inability to exercise proper "Institutional Control" of high profile Division I sports programs | | |
| D | Medicare | | Failure to follow Medicare billing rules, especially any instances of "overcoding" or "miscoding" (PATH II) | | |
| D | Immigration | | Inability to track and report on the status of non-citizens as required by SEVIS, Patriot Act | | |
| E | Col | | Lack of institution-wide Col policies, practices for governing boards, faculty, sr. officers and administrators | | |
| E | HR | | Lack of institution-wide HR policies, practices for hiring, non-exempt staff time recording, layoffs, terminations | | |
| E | Immigration | | Lack of institution-wide policies, practices for documenting eligibility to work (I-9) | | |
| E | GLB | | Lack of institution-wide policies, practices for complying with GLB | | |
| F | Record Maint | | Lack of institution-wide policies, practices for combination with laws relating to record retention, sion destruction | | |

The 'Encryption Type' dialog box is open, showing the following options:

- Weak Encryption (XOR)
- Office 97/2000 Compatible
- RC4, Microsoft Base Cryptographic Provider v1.0
- RC4, Microsoft Base DSS and Diffie-Hellman Cryptographic Provider
- RC4, Microsoft DH Schannel Cryptographic Provider
- RC4, Microsoft Enhanced Cryptographic Provider v1.0
- RC4, Microsoft Enhanced DSS and Diffie-Hellman Cryptographic Provider
- RC4, Microsoft Enhanced RSA and AES Cryptographic Provider (Prototype)**

The 'Key Length' is set to 128 and the 'Encrypt document properties' checkbox is checked.

Now type a password in the "Password to Open" field, click okay.



You will get another dialog box asking you to Re-Enter your password. Please re-enter your password and click ok.



Remember: It is difficult to recover a password protected or encrypted file if you lose the password.