

E-Records Forum
2009

RACO Texas 2009

RECORDS
ADMINISTRATION
CONFERENCE

THE NATIONAL ARCHIVES AND
RECORDS ADMINISTRATION

***“COLLABORATING ACROSS BOUNDARIES:
Government Records and Social Media”***

April 14-15, 2009

The National Archives and Records Administration

Southwest Region

Welcomes You to Austin, Texas!



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National Archives and Records Administration – Southwest Region

Fort Worth, Texas

April 2009

E-Records Forum / RACO-Texas - 2009

Welcome to this unprecedented two day conference which combines two premiere regional records and information meetings into one content-packed learning experience. Individually, these conferences have been quite successful by any measure used. Now, together for this unique, one-time, meeting – we hope to combine the best of both into a single educational opportunity.

The first E-Records Forum was held April 2002, seven years ago. It was founded by the partnership of institutions that still includes The University of Texas at Austin School of Information; National Association of Government Archives and Records Administrators (NAGARA); Texas State Library and Archives Commission; Society of Southwest Archivists (SSA); and NARA-Southwest Region.

Historically, E-Records Forum is held in Austin and focuses on the latest trends in electronic records management while also providing practical, lessons-learned sessions from leaders in the profession. Over the years, E-Records Forum has been attended by a rich mix of attendees from Federal, state, and local governments; private sector; colleges and universities; and tribes.

RACO, which stands for records administration conference has been held in Washington, D.C. for many years. Several years ago, the conference was offered in the western part of the nation in addition to the annual meeting back east. The first few RACO meetings held outside of Washington D.C. were referred to as RACO-West. This was changed a bit, however, with last year's meeting in Georgia – which was called RACO-Atlanta. For this year the event was dubbed RACO-Texas.

RACO-Texas focuses on records and information issues affecting Federal agencies in particular, however, non-Federal government entities will also benefit from these sessions since many of the issues are not limited to the Federal government. Generally, the topics covered in RACO-Texas are similar to those sessions presented in E-Records Forum. The scale of the programs may be larger, budgets are bigger, nuances are Federal – but the general principles are the same. It's all records and information management.

On behalf of the conference planners, I wish to thank all sessions speakers, exhibitors, and especially Bill Fellers and Cindy Smolovik of the NARA-SW staff. Without Bill and Cindy this conference would have been a far different – and less pleasant - experience. Also, I wish to acknowledge Tim Nolan of the Texas State Library and Archives Commission for his role as master of ceremonies and traffic cop of sort for the E-Records portion of this conference.

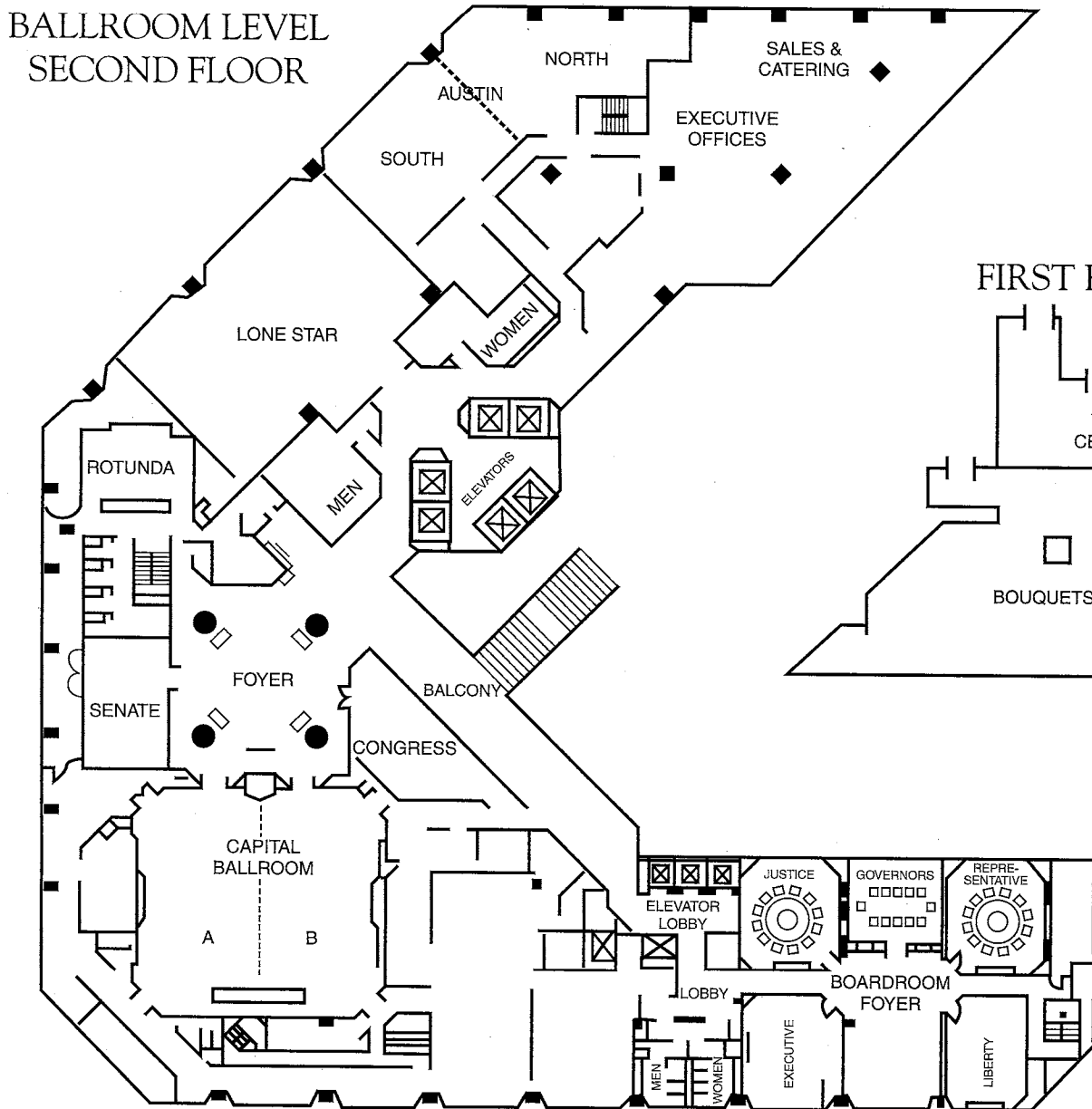
We hope you enjoy the conference and encourage you to network with your colleagues and please visit the exhibitors as able. Lastly, I also encourage you to experience Austin. It really is a one-of-a-kind city. It is a college town, but also a state capitol – it has charm – and attitude. After spending some time on Sixth Street and in some of the local attractions, you may find out why the locals often sport bumper stickers that say “Keep Austin Weird”.

Enjoy your stay – and thanks for attending the 2009 E-Records Forum / RACO-Texas Conference.

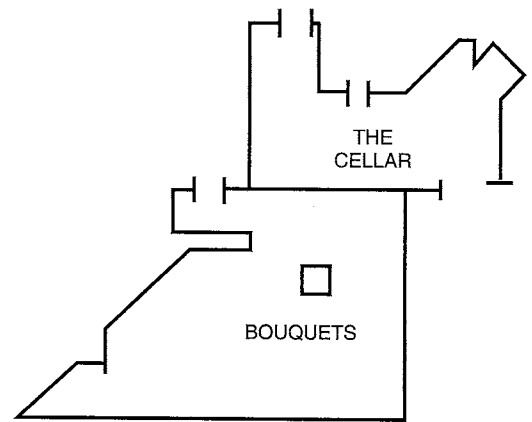
C. Preston Huff
Regional Administrator

CONFERENCE SPECIFICATIONS

BALLROOM LEVEL
SECOND FLOOR



FIRST FLOOR



E-Records Forum

April 14, 2009

Program Overview

Full session abstracts and speaker biographical information included inside.

7:00 – 8:00 a.m.	Registration
8:00 – 8:15 a.m.	Opening Remarks
8:15 – 9:15 a.m.	Session 1: <u>Web 2.0 and Records Management Issues</u> Speakers: Patricia Galloway, PhD and Robin Riat
9:15 – 9:30 a.m.	Refreshments with Exhibitors
9:30 – 10:45 a.m.	Session 2: <u>Keynote: “Everything is Miscellaneous”</u> Speaker: David Weinberger, PhD
10:45 – 11:00 a.m.	Refreshments with Exhibitors
11:00 – 12:00 p.m.	Session 3: <u>E-Discovery</u> Speaker: Conor R. Crowley, Esq
12:00 – 1:00 p.m.	LUNCH
1:00 – 2:00 p.m.	Session 4: <u>Bringing Electronic Information Back to Life</u> Speaker: Karen Strong
2:00 – 2:15 p.m.	Refreshments with Exhibitors
2:15 – 3:30 p.m.	Session 5: <u>Architecture-Centric Records Management – A People Focus</u> Speakers: Michael Miller, PhD and L. Reynolds Cahoon
3:30 – 3:45 p.m.	Refreshments with Exhibitors
3:45 – 4:45 p.m.	Session 6: <u>From Massive Web Harvests to Digitized Materials: Preserving Digital Content</u> Speakers: Cathy Nelson and Mark E. Phillips
4:45 – 5:15 p.m.	Southwest Region Acknowledgements
5:30 – 7:00 p.m.	E-Records Forum Reception/Exhibitors

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April 15, 2009

Program Overview

Full session abstracts and speaker biographical information included inside.

- 7:30 – 8:00 a.m. Registration and Exhibitors
- 8:00 – 8:30 a.m. Welcoming Remarks
- C. Preston Huff, CA CRM, Regional Administrator,
National Archives and Records Administration
Southwest Region
- Thomas Mills, Assistant Archivist of the United States,
Office of Regional Records Services
- 8:30 – 9:45 a.m. Session 1: E-systems Underdevelopment and Happening
Now at the National Archives and Records
Administration
Speakers: Hung Nguyen, John McEvoy, and Susan J. Sullivan
- 9:45 – 10:00 a.m. Refreshments with Exhibitors
- 10:00 – 10:30 a.m. Session 2: WISDM EDMS/RMA Case Study
Speaker: Susan L. Sallaway, CRM,
- 10:30 – 11:00 a.m. Session 3: Building a Comprehensive Records Management
Architecture for Electronic Records at the
Internal Revenue Service
Speaker: Daniel W. Bennett
- 11:00 – 11:15 a.m. Refreshments with Exhibitors
- 11:15 – 12:15 p.m. Session 4: Partnerships and Practices:
Working Together to Meet Electronic Record
Challenges
Speakers: Al Vincent and Barbara Voss
- 12:15 – 1:15 p.m. Lunch
- 1:15 – 2:00p.m. Session 5: Panel Discussion: Disaster/Continuity of
Operations Planning
Speakers: Howard Lowell, Daniel W. Bennett, Chad Johnson
and Michael P. Baimbridge, Jr.

RACO TEXAS

April 15, 2009

Program Overview

Full session abstracts and speaker biographical information included inside.

- 2:00 – 2:15 p.m. Refreshments with Exhibitors
- 2:15 – 2:45 p.m. Session 6: Emergency Preparedness and Continuity of Operations Planning in the U.S. Courts
Speaker: George B. Huff, Jr., JD
- 2:45 – 3:15 p.m. Session 7: RMA Case Study - Implementation Strategy and Principles in the U.S. Minerals Management Service
Speaker: Ralph Johnson
- 3:15 – 3:30 p.m. Refreshments with Exhibitors
- 3:30 – 4:30 p.m. Session 8: Managing Data and Information as National Assets
Speaker: Suzanne Acar, PhD
- 4:30 – 5:00 p.m. Wrap by C. Preston Huff, Regional Administrator,
National Archives Southwest Region

Continuing Education/Certificate Maintenance Credits

Institute of Certified Records Managers (ICRM) Certification Maintenance Credits is please to award 13 hour contact hours. See NARA-SW Region staff member to obtain pre-approval code.

The Academy of Certified Archivists (ACA) is pleased to award ten Archival Recertification Credits (ARCS) to Certified Archivists attending both NARA's E-Records Forum and Regional Administrators' Conference (RACO) Texas on April 14 and 15, 2009. A Certified Archivist claiming these ARCS should list them under Section B.3.b. of the ACA's Application Form for Certification Maintenance. Certified Archivists attending one of the meetings, on either April 14 or 15, 2009, may claim five credits and they should list these credits under Section B.3.c. of the certification maintenance form.

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7:00 – 8:00 a.m.	Registration
8:00 – 8:15 a.m.	Opening Remarks
8:15 – 9:15 a.m.	Session 1:

Web 2.0 and Records Management Issues

This session is a panel discussion on the issues and the impact of Web 2.0 presented by Dr. Patricia Galloway and Robin Riat.

- **Searching for wholeness: “When employees want to use familiar digital tools”**

We hear a lot about “millenials,” but the truth is that nearly everyone in the workforce today of whatever age has access to a computer at home—and uses the free services offered “in the cloud” by (first) email providers and (then) social networking sites, and from there is not far to a full panoply of web services that never live on the home desktop. When people who use computers at home come into the workforce, they want to continue to use the convenient tools they already know. This is not only because they don’t want to learn something new, but as the division between the work and home parts of knowledge workers’ lives becomes more blurred, they strive to do what they can now potentially do: bring everything together in one place. Records managers who understand why this makes it possible for people to work smarter will save themselves a lot of time wondering why people won’t follow recordkeeping rules and use that time to work on how the rules can adapt.

- **Patricia Galloway, PhD.**, Associate Professor,
School of Information University of Texas at Austin

Patricia Galloway has a BA in French from Millsaps College, MA and PhD in Comparative Literature from the University of North Carolina-Chapel Hill, and a PhD in Anthropology, also from UNC-CH. From 1979 to 2000 she worked at the Mississippi Department of Archives and History as manager of information systems while carrying out historical and editorial work. From 1997 to 2000 she directed a National Historical Publications and Records Commission grant-funded project at MDAH to create an electronic records program for the state of Mississippi. In 2000 she came to the School of Information, University of Texas-Austin, where she is Associate Professor teaching archives and digital records. Her work in digital archiving has addressed several types of materials, including websites, email, personal records, multimedia objects, and journal editorial workflow. In the spring of 2005 her digital preservation seminar con-

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structed and established the first permanent collections in an institutional repository for the School of Information, which is now a 10,000 object repository serving as a working digital repository for student research, addressing long-term preservation and its institutionalization. She is past co-chair of the Society of American Archivists' Committee on Education and Professional Development. At the School of Information she serves as committee chair for five doctoral students and has supervised more than 35 Master's capstone projects.

- **Getting Ready for Web 2.0**

Web 2.0 approaches and tools are taking the world by storm. Whether you blog daily or still think Twittering is for the birds, it is time for records managers to recognize and begin understanding the records created by Web 2.0 social media and collaboration tools. We'll look at a few simple things you can do to get ready for Web 2.0.

- **Robin Riat, CRM**, Senior Records Analyst,
National Archives and Records Administration
Central Plains Region Records Management Program

Robin Riat, CRM, is a Senior Records Analyst for the National Archives and Records Administration's Central Plains Region in Kansas City. She currently teaches records management classes and works with Federal agencies to revitalize and improve their records programs. She has worked as a records manager and librarian in private sector, Federal, and university settings. Robin has master's degrees in Library Science and Management Information Systems.

9:15 – 9:30 a.m. Refreshments with Exhibitors

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9:30 – 10:45 a.m. Session 2: Keynote Speaker

David Weinberger, PhD

“Everything is Miscellaneous”

David Weinberger will be talking about his latest book, Everything Is Miscellaneous: The Power of the New Digital Disorder. This book explains how the new rules for organizing ideas and information are transforming business and culture. *The Wall Street Journal* called him a "marketing guru." He's the co-author of the The Cluetrain Manifesto, the bestseller that cut through the hype and told business what the Web was really about. He's been a frequent commentator on National Public Radio's *All Things Considered*. He's written for the "Fortune 500" of business and tech journals, including *The New York Times*, *Harvard Business Review*, *The Miami Herald*, *The Boston Globe*, *USA Today*, *The Guardian*, and *Wired*. Journalists from *The New York Times*, *Newsweek*, *The Boston Globe*, *The Los Angeles Times*, *InformationWeek*, *The Economist*, *the Wall Street Journal* and many more turn to him for insight. He is a columnist for *Knowledge Management World* and *il sole 24 ore*, and writes an influential business technology newsletter and a well-known daily weblog, JOHO the Blog. He was a philosophy professor for six years, a comedy writer for Woody Allen's comic strip for seven years, a humor columnist, a dot-com entrepreneur before most people knew what a home page was, and a strategic marketing consultant to household-name multinationals and the most innovative startups. He has a PhD in philosophy and is currently a Fellow at the prestigious Harvard Berkman Center for Internet & Society.

10:45 – 11:00 a.m. Refreshments with Exhibitors

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11:00 – 12:00 p.m.

Session 3:

E-Discovery

This session is a discussion on the expectations of E-Discovery.

- **Conor R. Crowley, Esq**

Conor R. Crowley is a partner in the law firm of Daley Crowley LLP, a firm that specializes in the provision of legal and consulting services relating to e-discovery, e-records management and compliance, and data privacy. He leverages his experience as a litigator and electronic discovery attorney to provide strategic and tactical advice to corporate and law firm clients on all aspects of electronic discovery and e-compliance including litigation hold assessment and implementation, meet-and-confer preparation, negotiating preservation and production stipulations, drafting and responding to discovery requests, and records management. Mr. Crowley is a member of the Steering Committee for The Sedona Conference Working Group on Best Practices for Electronic Document Retention and Production in addition to being a Senior Editor of a number of The Sedona Conference's publications including The Sedona Conference Commentary on Legal Holds and The Sedona Principles (Second Edition): Best Practices Recommendations & Principles for Addressing Electronic Document Production. He is also an inaugural member of both the Advisory Board for Georgetown University Law Center's Advanced E-Discovery Institute and the Board of Advisors for BNA's Digital Discovery & e-Evidence, and a member of The Sedona Conference Working Group on International Electronic Information Management, Discovery and Disclosure. A nationally published author, Mr. Crowley regularly speaks at continuing legal education seminars to instruct attorneys on how to most effectively conduct electronic discovery in complex litigation and to advise corporations on best practices for ESI management.

12:00 – 1:00 p.m.

LUNCH

1:00 – 2:00 p.m.

Session 4:

Bringing Electronic Information Back to Life

Information does not have any value when it is stored – it only has value when it is used. Unfortunately, most organizations are storing mountains of information including email, files on shared drives, web sites, images, and multimedia. If we don't change the way we manage our information, we will get more of the same --- bigger mountains! This presentation introduces a lifecycle model that focuses on the value of information. The lifecycle addresses how we create, organize, find and share information AND preserve the information needed for legal and regulatory compliance. This presentation addresses 4 keys to success: updated policies, consistent processes, state-of-the-art technology, and engaged people.

- **Karen Strong**, Solutions Director, Gimmel Group

Karen Strong is a Solutions Director for Gimmel Group focused on Enterprise Content and Records Management (ECRM). She has been in the industry for more than 25 years working with clients to solve complex records and information management challenges. She is recognized for her process-centric view of ECRM offering organizations a methodology to deliver strategic and tactical results based on enterprise process improvement. Ms. Strong also specializes in innovative methods for communication and change management when introducing ECRM programs to ensure the sustainability of policies, processes, and technology. She is an industry author and nationally recognized speaker and educator.

2:00 – 2:15 p.m.

Refreshments with Exhibitors

2:15 - 3:30 p.m.

Session 5:

Architecture-Centric Records Management – A People Focus

Embedding records management into enterprise architecture is a key step in developing a sustainable records program. Making the most of this strategy requires rethinking traditional records management so this session introduces a framework for doing that, including a RIM ecosystem model, a RIM process model and a Records Management Capability Model. But the key to successful implementation requires organizational management as well as records management. The Session addresses that issue as well with analytical tools for understanding and overcoming barriers caused by corporate culture, personalities and organizational dynamics.

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- **Michael Miller, PhD**, Director RIM Consulting, Lockheed Martin

Mike Miller currently serves as Director of Records and Information Management Consulting for Lockheed Martin. Mike has over 30 years of archives and records management experience including Federal service with the National Archives and Records Administration where he directed the Modern Records Program, the Environmental Protection Agency, where he was National Program Manager for Records Management, and the FBI where he led the Records Automation Section. His areas of expertise are records management policy, records management program development and electronic records. A frequent presenter at professional meetings, he has also authored or co-authored five publications, including one that won an award from SAA. A Certified Records Manager, Certified Archivist, and adjunct professor at the University of Maryland, he has a keen interest in exploring why the best attempts of archivists and records managers often fail to achieve their desired results.

- **L. Reynolds “Ren” Cahoon**, Director Advanced Programs, Lockheed Martin

Ren Cahoon, joined Lockheed Martin in November 2006, as Director of Advanced Programs. In this role, Ren works with organizations world-wide to assess and design records and information management architectures that assure our digital legacy is created, managed, discoverable, exploitable and preserved for as long as it's needed. Ren spent 10 years as the chief information officer for the U.S. National Archives and Records Administration and most recently served as a senior advisor on electronic records to the Archivist of the United States. Prior to his appointment with the National Archives, Ren served as managing director of the Family History Department of the Church of Jesus Christ of Latter-Day Saints leading the capture and preservation of and access to the world's largest collection of free genealogical research information. (See: <http://www.FamilySearch.org/>) Before assuming his role in worldwide records preservation and access, Ren was a financial controller for Inland Steel Company. Currently a commissioner for the International Commission for the Accreditation of Professional Genealogists, Ren has served as co-chair of the Architecture and Infrastructure Committee of the Federal CIO Council. He also has served on the Board of the Civil War Trust, and as a member of the International Council on Archives' Automation Committee.

3:30 – 3:45 p.m. Refreshments with Exhibitors

3:45 – 4:45 p.m.

Session 6:

**From Massive Web Harvests to Digitized Materials:
Preserving Digital Content**

This presentation will cover background information about the growth of digital collections at the University of North Texas (UNT) and how those heterogeneous collections affected the design and creation of our preservation architecture. Included will be a description of the digital collections that complicate the design of the digital archive and why existing solutions do not meet our preservation needs. The architecture of the UNT system that manages digital content, allows access to the content, and preserves it for the long term will be described.

- **Cathy Nelson Hartman**, Assistant Dean of Libraries for Digital and Information Technologies, University of North Texas

Cathy Hartman has been involved in leadership roles in state and national organizations and councils including the American Library Association and the Texas Library Association. She is a past chair of the Federal Depository Library Council, an advisory body to the head of the US Government Printing Office, on issues related to U.S. government information access policy. She currently serves on the Texas Records Management Interagency Coordinating Council (RMICC). of the Texas Register and later the partnership was expanded to include the Texas Laws and Resolutions Archive. She leads a talented and knowledgeable team of researchers and developers who are involved in a National Digital Information Infrastructure and Preservation Program (NDIIPP) grant titled “The Web - at - Risk.” This research is in its fourth year in partnership with the California Digital Library and New York University and relates to the selection, capture, and long - term preservation of important Web - published information. Additionally, the UNT team is involved in research funded by IMLS to study how different user groups access and use digital cultural heritage materials. Hartman is the founder of the Portal to Texas History program that has now helped more than 95 libraries and museums in Texas digitize their unique collections and make them available on the Web. With funding from several sources including the National Endowment for the Humanities, TexTreasures, LSTA, the Summerlee Foundation, the Tocker Foundation, and others, thousands of pages of digitized historical Texas newspapers are being added to the Portal to Texas History over the coming year.

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- **Mark E. Phillips**, Head of Digital Projects Unit,
University of North Texas

Mark E. Phillips oversees all stages of digitization projects for the UNT Digital Projects Laboratory, including workflows, standards, conversion, presentation, open source software development, and preservation. He designed, and led a team of programmers, to create a digital object management system which provides preservation of and access to digital resources created and collected by the various areas of the UNT Libraries. In the Digital Projects Unit, he develops solutions, manages staff, and serves as the technology lead to ensure success of grant funded projects within the Libraries. Phillips is involved in research and presents widely on the subjects of digitization workflows and system development to support digital library needs. Currently, he serves as the technical lead at UNT for a National Digital Information Infrastructure and Preservation Program (NDIIPP) grant in collaboration with the California Digital Library to harvest and preserve Web published materials. He is also the technical lead on an IMLS funded research project to create a rapid development framework to support Web functionality for users. As a partner in the Texas Heritage Digitization Initiative's project to create a state-wide gateway to digital resources, he directed UNT programmers in the creation of a software component for the Library of Texas search interface.

4:45 – 5:15 p.m. **NARA-Southwest Region-Agency Acknowledgements**

5:30 – 7:00 p.m. **E-Records Forum Reception/Exhibitors**

The National Archives and Records Administration –Southwest Region
Co-sponsors this Annual E-Records Forum with:

Texas State Library and Archives Commission

University of Texas at Austin School of Information

Society of Southwest Archivists (SSA)

National Association of Government Archives
and Records Administrators (NAGARA)

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7:30 – 8:00 a.m. Registration and Exhibitors

8:00 – 8:30 a.m. Welcoming Remarks

- **C. Preston Huff**, Regional Administrator, National Archives and Records Administration Southwest Region
- **Thomas Mills**, Assistant Archivist of the United States, Office of Regional Records Services

8:30 – 9:45 a.m. Session 1:

E-systems Underdevelopment and Happening Now at the National Archives and Records Administration

This session will discuss the new systems under development: Electronic Records Archives (ERA) and the Archives and Records Centers Information System (ARCIS) at the National Archives. This session will also discuss the history of the Toolkit for Managing Electronic Records. We will show you how to find resources in the Toolkit, and explain how to suggest new resources for inclusion in the Toolkit.

- **Electronic Records Archives (ERA) Update**

ERA is the National Archives and Records Administration's strategic initiative to preserve and provide long-term access to uniquely valuable electronic records of the U.S. Government, and to transition government-wide management of the lifecycle of all records into the realm of e-government.

- **Hung Nguyen**, Electronic Records Archives Program, National Archives and Records Administration

Hung N. Nguyen is the Director of NARA's Electronic Records Archives (ERA) Nationwide Implementation. In this role, Mr. Nguyen oversees the introduction of ERA to Federal Agencies. Prior to joining the ERA program management office, Nguyen served as the Director of System Engineering/Chief Engineer oversee IT project integration at NARA. Previous to his NARA appointment, Nguyen had held several Directorship positions with the U.S. Department of Treasury's Financial Management System (FMS), where he was responsible for the availability and security of FMS telecommunication networks used for disbursing Federal payments, collecting Federal revenues, and issuing Government-wide Financial Reports. Nguyen received his B.S. in Aerospace Engineering from the University of Maryland and M.S. in Engineering Management from the George Washington University.

- **Are You ARCIS Ready?**

ARCIS is a new, web-based system being developed by the Federal Records Centers (FRCs) of the National Archives and Records Administration. The system will serve as the online portal through which your agency will do business with the Federal Records Centers

- **John McEvoy**, IT Specialist, National Archives and Records Administration, Office of Regional Records Services

John McEvoy serves as an IT Specialist for the Federal Records Center Program at the National Archives and Records Administration, having served as the Director of the Philadelphia Federal Records Center from 2001 – 2008. He is currently assisting with business process development of the new ARCIS system, performing detailed process testing and improvements pre-deployment. He also provides customer and employee training, and will directly support roll-out at each FRC. Prior to joining the National Archives in 2001, John served as Archives Manager for Pierce Leahy Archives and Iron Mountain in the New York and Ohio markets, Operations Manager for Pierce Leahy Archives in New Jersey, Branch Manager for Arcus Data Security in the Philadelphia markets, and General Manager of Operations for Dataport at the World Trade Center in New York. John earned his bachelor's degree from Susquehanna University in Selinsgrove, PA. ARCIS is an IT system currently under development for NARA's Federal Records Center Program and its customers. When fully deployed, the new system will replace legacy systems (NARS-5, SIS, etc.), automate and streamline many FRC workflow processes, and will be the online portal through which NARA's customer agencies will do business with the FRC. This demonstration will highlight specifics of the new ARCIS system with an emphasis on the Customer Portal and what getting ready for your Federal Records Center's deployment will mean for you and your agency. Other notable topics will include functionality, security, and the ARCIS deployment schedule.

- **Toolkit for Managing Electronic Records**

The Toolkit for Managing Electronic Records is a web portal that provides summary descriptions of a collection of guidance products for managing electronic records and resources (“tools”) that have been developed by NARA and other organizations. The Toolkit works much like a library catalog or document index that you can search and browse. The summary descriptions are intended to help you save time and effort. Instead of reading the complete text of the resource to determine its usefulness, you can search and browse this collection of descriptions to see if a resource seems to apply to your needs. If it does, with another click, you can then link to the resource.

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- **Susan J. Sullivan**, CRM, ERM Policy Team, National Archives and Records Administration, Modern Records Programs

Susan Sullivan is a Certified Records Manager and a member of the Modern Records Programs Electronic Records Policy Team. For 20 years, she was a records management consultant in the nuclear power industry and later in the U.S. Federal government. Susan joined NARA in 2002 where she develops guidance, represents NARA on the PDF/A ISO Standard, teaches NARA's course on Advanced Electronic Records, and manages the Toolkit for Managing Electronic Records.

9:45 – 10:00 a.m. Refreshments with Exhibitors

10:00 – 10:30 a.m. Session 2:

WISDM EDMS/RMA Case Study

Embarking on an electronic records management system implementation is a team effort that requires continuous, dedicated, knowledgeable support from the affected business units, information technology services (ITS), and records management. This presentation outlines lessons learned during one federal agency's successful implementation of a DoD-certified commercial off-the-shelf system and their first year of production.

- Susan L. Sallaway, CRM, U.S. Department of Treasury, Office of the Comptroller of the Currency

Susan Sallaway, CRM, is the Agency Records Officer at the Office of the Comptroller of the Currency, a bureau of the Treasury. She previously served at the National Archives and Records Administration, after beginning her records management career as a contractor at the Environmental Protection Agency. Sallaway earned a Masters of Science in Library Science from The Catholic University of America (CUA) in 1994, where she served as a part-time law librarian for 14 years. She became a Certified Records Manager in 1996, and taught Records Management Principles at the graduate level for 3 years at the University of Maryland College of Library and Information Studies. Sallaway spent the first 15 years of her career in the insurance brokerage business.

10:30 – 11:00 a.m. Session 3:

**Building a Comprehensive Records Management Architecture
for Electronic Records at the Internal Revenue Service**

The Internal Revenue Service (IRS) faces an enormous and complex set of problems associated with the management of electronic records, not just because of the sheer volume of content but also due to the fact that there are hundreds of disparate systems that are used to generate and consume this content. Solving these problems requires a Records Management (RM) approach that takes into account content from all systems while addressing the needs of each individual system, the Records and Information Management (RIM) Program and the overall IRS enterprise architecture.

This presentation outlines a RM architecture that addresses the needs of the IRS for electronic records by considering different types of content and falls within the overall IRS systems and applications architecture. As detailed in the presentation, the RM architecture also addresses the unique needs of the RIM Program by limiting the day to day RM activities while placing these records maintenance activities on the individual system owners who are closely aligned with the creators of the records.

- **Daniel W. Bennett**, Records Officer, U.S. Department of Treasury, Records Officer, Internal Revenue Service

Daniel W. Bennett is the Federal Records Officer and Director, Records and Information Management Program for the Internal Revenue Service. He is the outgoing Chair of the Federal Information and Records Managers (FIRM) Council Board of Directors, a member of the Federal Government Headquarters Office - Records Management Community of Practice, a member of the Digital Government Institute Educational Advisory Committee, and a member of the NARA Customer Resource Board (CRB). Prior to his transfer to the Department of Treasury, he held Federal positions as the Regional Director of NARA's Pacific Region – Laguna Niguel, California, Director of the Los Angeles Federal Records Center, Director, Records Management Program, NARA Pacific Southwest Region, Assistant Director of the Philadelphia Federal Records Center, Branch Chief, Micrographics and Reproduction Branch, NARA, Appraisal Archivist, NARA, and the Archivist for both the National Museum of Health and Medicine and the Armed Forces Institute of Pathology (AFIP), Department of Defense

11:00 – 11:15 a.m. Refreshments with Exhibitors

RACO TEXAS

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11:15 – 12:15 p.m. Session 4:

Partnerships and Practices **Working Together to Meet Electronic Records Challenges**

Federal agencies have been generating vast quantities of temporary electronic records for many years. This is a case study of how three Federal agencies came together to solve an eRecords problem. In this panel discussion, learn from senior agency executives about the challenges and opportunities the agencies confronted in developing a prototype electronic records repository for storing inactive agency temporary eRecords using a DoD 5015.2 compliant Commercial Off the Shelf (COTS) product.

- **Al Vincent**, Department of Commerce, Associate Administrator for Telecommunication Sciences and Director of NTIA's Institute for Telecommunication Sciences

Al Vincent has been Director of NTIA's Institute for Telecommunication Sciences, U.S. Department of Commerce, since 2002. There he is responsible for technical leadership and promotion of the Laboratory's telecommunications research and engineering mission nationally and internationally. Previously Mr. Vincent was active in the field of telecommunications enterprise architecture for over 25 years. He holds a B.S./M.S. in Mathematics/Theoretical Mechanics from Rensselaer Polytechnic Institute.

- **Barbara Barnes Voss**, Regional Administrator, National Archives and Records Administration Rocky Mountain Region

Barbara Voss has served as Regional Administrator for the National Archives Rocky Mountain Region since 2000. She is responsible for implementing NARA's records management, archival and records center programs in the seven state area that comprises the Rocky Mountain Region. Prior to joining NARA the emphasis of Ms. Voss' career for over 20-years was in designing and developing legal information management systems to control, manage and access large record collections and information in a litigation environment. During her career, Ms. Voss has had the opportunity to work with all levels of Government and corporate executives, clients and members of the public. Ms. Voss is a member of several professional organizations including AIIM and the Association of Records Managers and Administrators (ARMA) and the Denver FEB Executive Committee.

12:15 – 1:15 p.m. Lunch

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1:15 – 2:00p.m.

Session 5:

Panel Discussion: Disaster/Continuity of Operations Planning

This session is a panel discussion by NARA and FEMA concerning National Disaster and Recovery and Response and Continuity of Operations Planning (COOP)

- **NARA After Katrina: Lessons Learned and Actions Taken,**

The experiences of Hurricane Katrina fundamentally changed the way NARA and public records custodians nationwide need to think about records essential to continuity of government services and protection of citizen rights during and following an emergency event. This presentation will outline some of the actions that NARA has taken, based on the hard lessons learned from Katrina, and what still needs to be done.

- **Howard Lowell,** External Coordinator for Disaster Recovery and Response, National Archives and Record Administration

Howard P. Lowell was Deputy Assistant Archives for Records Services – Washington from 2000 through 2008, and now serves as NARA's External Coordinator for Disaster Preparedness and Response. In this role Lowell is NARA's liaison to the Federal emergency preparedness and response community and state and local governments for issues relating to protecting government records in emergency situations. Prior to joining the National Archives and Records Administration in October 2000, Lowell served for more than a decade as Delaware State Archivist and Records Administrator and in a similar capacity for the State of Oklahoma for eight years. He began his career with the Maine State Archives in 1968.

- The Internal Revenue Service has offices around the country that must be prepared to continue operations regardless of the pressures of local conditions in the event of a disaster.

- **Daniel W. Bennett,** Records Officer, U.S. Department of Treasury, Internal Revenue Service

(See Session 3 for biographical information for Daniel W. Bennett)

- **FEMA Operations: A Behind the Scenes Look**

This presentation will cover the background of FEMA Region VI Organization and Operations, including continuity and disaster response and recovery. For continuity this presentation will go into the planning, training, and exercise aspect that FEMA Region VI provides. The disaster response and recovery portion will focus on how FEMA is activated through the Stafford and what resources FEMA can provide during the response and recovery phase. This presentation will also

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go into detail on how the Emergency Management Institute provides assistance to Federal, State, local, and tribal organizations through on-site training, as well as, Independent Study (IS) courses to build their preparedness level. Finally, a discussion of the preparedness aspect of FEMA Region VI and what resources from training to After Action report and analysis can be provided to the Federal, State, local, and tribal organizations.

- **Chad Johnson**, Preparedness Analyst,
Federal Emergency Management Agency (FEMA), Region VI

Chad Johnston is a Preparedness Analyst within the National Preparedness Division at FEMA Region VI, located in Denton, TX. His main job responsibility consists of providing planning and analysis assistance to the State, local, and tribal emergency management organizations to build and sustain an effective capability to respond to all emergency and disasters including a terrorist incident. Chad has been with FEMA Region VI for seven years, and has worked in various programs within the National Preparedness Division ranging from the Chemical Stockpile Emergency Preparedness Program to the Remedial Action Management Program. Chad also has disaster responsibilities for the region office including Mission Assignment Coordination and County/State FEMA Liaison. Chad is a graduate from Arkansas Tech University and holds a Bachelor of Science in Emergency and Administration Management.

- **What You Need to Know and Learn About COOP**

This panel discussion offers insights into COOP training; After Action Reporting; and how all the planning and recover processes relate to records management.

- **Michael P. Baimbridge, Jr.** - Senior Records Analyst, National Archives and Records Administration- Southwest Region

Michael P. Baimbridge, Jr. is a Senior Records Analyst with the National Archives and Records Administration. He has a B.A. in Political Science and International Relations from Austin College in Sherman, Texas and a Master's of Business Administration (with emphasis in Computer Resource and Information Management) from Webster University in St. Louis, Missouri. Prior to coming to work for NARA's Southwest Region, Michael was the Records Manager for the Houston Airport system, a Records and Information Specialist with the University of Texas Medical Branch in Galveston, Texas and a member of the United States Air Force. Michael has 20 years of records management experience. He is the National Archives and Records Administration Southwest Region's COOP Manager, is a FEMA certified COOP trainer and a member of both the Houston and Dallas/Ft. Worth Federal Executive Board COOP training teams. Michael responded to hurricane Katrina, acting as a forward observer for NARA and as a liaison to FEMA for Katrina response efforts.

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2:00 – 2:15 p.m. Refreshments with Exhibitors

2:15 – 2:45 p.m. Session 6:

Emergency Preparedness and Continuity of Operations **Planning in the U.S. Courts**

The Judiciary's emergency preparedness program is supported by the Administrative Office (AO) of the U.S. Court's Judiciary Emergency Preparedness Office which was established in November 2001. It provides active assistance to courts in the areas of emergency preparedness, crisis response, occupant emergency and operational continuity planning. Each court is responsible for planning for evacuation and continued operation in the event of a disaster or other interruption. The Congress and Judiciary maintain business continuity programs consistent with their positions as coequal branches of Government. AO and court staffs have incorporated relevant continuity principles of the Executive Branch in the continuity planning of U.S. courts. AO staff coordinates with the committees of the Judicial Conference of the U.S. to ensure the comprehensive integration of business continuity, advanced IT applications, telework and alternate workplace arrangements as an integral part of this program. To maintain awareness of technological advances and initiatives in law associations and the private sector, AO staff serves as liaison to the American Bar Association's Special Committee on Emergency Response and Preparedness.

The AO has recommended that every U.S. court designate a senior executive to coordinate and assume responsibility for developing procedures for emergency preparedness and a business continuity plan. An emergency preparedness website on the J-Net provides guidance to the courts in developing the components essential to their emergency preparedness activities. In particular, templates have been developed for courts to create a business continuity plan and develop an occupant emergency plan.

- **George B. Huff, Jr., JD, CBCP**, Senior Attorney-Advisor, Space and Facilities Division/Judiciary Emergency Preparedness Office, Administrative Office of the U.S. Courts

George Huff is the Attorney-Advisor with the Space and Facilities Division of the AO. He advises the Judicial Conference's Committees on Space and Facilities and Judicial Security, and staffs the Judiciary Emergency Preparedness Office. George retired from the United States Army Reserve after service in various senior-level operational positions. As a former Deputy Attorney General of Indiana, George is the attorney of record on a number of reported cases. In his work with the Judiciary, George has served as a law clerk in the Court of Federal Claims in Washington, D.C., and in the Court of Appeals for the Seventh Circuit in Chicago, and in a variety of legal positions associated with court management, facilities and security.

George's primary additional duty has been as the Attorney-Advisor for the Judiciary Emergency Preparedness Office at the AO during more than 35 disaster-related incidents affecting court operations throughout the United States. He serves as the advisor to the Judiciary Emergency Preparedness Program, providing guidance and assistance in the development of continuity of operations and occupant emergency plans. He participates in the activities of the Interagency Continuity Advisory Group. George was recently named as a liaison to the American Bar Association's Special Committee on Disaster Response and Preparedness. He has published cover articles on business continuity in the journals of Federal and American Bar Associations. George conducts continuity exercises for the AO and U.S. courts, and teaches business continuity in continuing legal education programs.

2:45 – 3:15 p.m. Session 7:

**RMA Case Study - Implementation Strategy and Principles
in the U.S. Minerals Management Service**

The Minerals Revenue Management program in the U.S. Minerals Management Service is implementing an electronic document management system and an electronic records management system as part of a multiple year initiative. The implementation is proceeding on a business process by business process basis with process improvements being incorporated along the way. The project is designed to be low cost and in-house.

- **Ralph Johnson**, Manager, Information Management Group, Minerals Management Service, Denver, Colorado

Ralph Johnson is the Manager of the Information Management Group of the U.S. Minerals Management Service. He is a 30-year civil servant with an extensive background in information technology and project management. Mr. Johnson has a B.A. in mathematics and an M.S. in operations research. His current responsibilities include records management, freedom of information, and web design and publishing. The Minerals Management Service collects over \$20 billion annually in revenue from mineral leases on Federal and Native American lands.

3:15 – 3:30 p.m. Refreshments with Exhibitors

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3:30 – 4:30 p.m.

Session 8:

Managing Data and Information as National Assets

Federal data and information are national assets needed by the public to understand the activities of their government and as internal assets they need to be leveraged across the single, federated government enterprise to: Improve performance, Support decision-making, Document agency activities, Fight the global war on terrorism, and Enable accurate reporting.

- **Suzanne Acar, PhD** Principle Data Architect at the Federal Bureau of Investigation (FBI)

Dr. Suzanne Acar, co-chair of the Federal Data Architecture Subcommittee, will share her insights on discovery, access, and seamless exchange of data and information relevant to meeting business and mission objectives of Government in the digital age. Points of emphasis will include: Information sharing challenges to overcome, the shifting of paradigms, and the 3 Pillar Implementation Strategy. Dr. Acar possesses over 25 years of government experience in enterprise data management and architecture initiatives. She currently serves as the Principle Data Architect at the Federal Bureau of Investigation (FBI). She is co-chair of the inter-agency Federal Data Architecture Subcommittee under the Architecture and Infrastructure Committee (AIC) of the Federal CIO Council. In the past, she has led award winning data management programs that furthered the interoperability goals for U.S. Department of the Interior (DOI) and the U.S. Army. Dr. Acar is a member of the international Data Management Association (DAMA). She serves as the government advisor on the DAMA National Capitol Region Chapter as well as MIT's Information Quality Symposium. The DAMA International Government Award and the Federal 100 Award are among the many honors and awards Dr. Acar has received.

4:30 – 5:00 p.m.

Final Wrap Up: Preston Huff, Regional Administrator,
National Archives and Records Administration-
Southwest Region

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Vendors—Exhibitors