

## The National Archives and Records Administration Southwest Region



# The Southwest Bulletin

Issue #6

What's Inside?

Archives and Records Management Moving

pages 2-3

**Staff Changes** 

pages 4-5

Regional Archives Educational Programming

pages 5-6

E-Records Forum, RACO Texas Programs and Registration Information

pages 1, 8-9

Highlights from E-Records Forum 2008

pages 10-11

Records Management — Four Agencies assigned to the Southwest Region

page 12

Records Management Training Course Schedule

pages 13-14

**ARCIS** pages 15-16

New Records Center Services and Equipment and FRC Toolkit

pages 17-20

ERA page 21

First Preserver

pages 22-23

### Southwest Region to Host Two Important Events April 14-15, 2009

# E-Records Forum and RACO Texas To be held at the Omni Hotel, Downtown Austin, Texas



E-Records Forum 2009

Something for everyone! Explore issues in facing government and private sector alike.

RACO Texas 2009

RECORDS Administration Conference

THE NATIONAL ARCHIVES AND RECORDS ADMINISTRATION

Don't miss one of the premier conferences on Federal Government records and information management.

The National Archives-Southwest Region invites you to take part in two extraordinary events at the Omni Hotel in Austin, Texas on April 14-15, 2009. Annually, the National Archives picks one of its regional locations to host a records administration conference known as RACO. This year the Southwest Region has the honor of presenting this event dubbed RACO Texas in conjunction with its own annual E-Records Forum.

RACO Texas will present speakers from various federal agency records management programs to discuss successes and lessons learned while developing projects and programs, facing natural disasters, and other topics.
RACO Texas will also include updates on the latest services and upcoming changes at the National Archives.

The annual E-Records Forum will once again focus on the latest issues and challenges presented to all of us by electronic records and technological advances. **Turn to pages 8-9 for 2009 speakers, topics and registration information**. As a preview to 2009, highlights from E-Records Forum 2008 are included in this issue.

#### The Southwest Bulletin

This newsletter is published twice a year, to keep the records officers of the Federal agencies in the four-state Southwest Region (Texas, Oklahoma, Arkansas and Louisiana) apprised of their responsibilities as the caretakers of Federal records. It is also intended to inform volunteers, genealogists, political leaders, teachers, researchers, information technology and other professionals about the many services provided by NARA. Let us know if we can address an area of record keeping that is of interest to you.

National Archives and Records Administration Southwest Region 1400 John Burgess Drive Fort Worth, Texas 76140 (817) 551-2000 (Main) (817) 551-2009 (Fax)

Web Address: www.archives.gov/southwest/

C. Preston Huff, CRM, CA, Regional Administrator e-mail: preston.huff@nara.gov 817-551-2001

Leonard "Jr" Harmon Assistant Regional Administrator e-mail: leonard.harmon@nara.gov 817-551-2002

Darin Coté Director, Records Center e-mail: darin.cote@nara.gov 817-551-2003

Meg Hacker Director, Archives e-mail: meg.hacker@nara.gov 817-831-5643

Bill Fellers, CRM Director, Records Management e-mail: bill.fellers@nara.gov 817-831-5918

Editor Cindy C. Smolovik, CRM, CA Senior Records Analyst e-mail: cindy.smolovik@nara.gov 817-831-5920



## At Last, Archives and Records Management Moving Soon!

#### By C. Preston Huff, CRM, CA

In the last edition of this newsletter (Winter 2008) I wrote about the impending word on the NARA Southwest Region's proposed Archives building. Unfortunately we don't have too much to report on that project but I would like to furnish an update on what is happening – as we go to press with this edition. Of course things are subject to change.

#### **Temporary Move First**

The General Services Administration (GSA) has informed us that we must vacate Building 1 at the old Federal Depot in South Fort Worth by **August** 31st, 2009. As you know, in 2006 we moved the Records Center portion of our operation from Building 1 into the new 205,000 square foot facility nearby. The Records Center constituted 90% of Building 1. All that was left after the Records Center moved out - was the Archives and Records Management.

The Archives moved some 33,000 cubic feet of historical records to the temperature and humidity controlled Archives Bay at the new Federal Records Center in 2007. An additional 70,000 cubic feet of records will be moved in the Spring and early Summer of 2009. This move will necessitate some of the Archival staff relocating to the Federal Records Center.

An Archives Research Room has been set up for researchers to review these records at that location. Additionally, a classroom has been converted to an Archives Processing Room in order to continue to prepare unprocessed or any incoming records for use by researchers.

The GSU (Genealogical Society of Utah) scanning project will continue despite the relocation. The two GSU staff will become contractors and will work on their projects in the Digital Imaging Lab of the Federal Records Center.

Up to one half of the Archives staff will work at the Federal Records Center until a new building is constructed in the upcoming years. Researchers using original records will need to come to the new location to access records. This will continue to be scheduled by appointment only.

Meanwhile, the rest of the Archives, i.e., public programs, education (including distance learning), microfilm (and public access computers) research room, as well as the Records Management group will be located in temporary office space somewhere in the Fort Worth area. We are working with GSA to find appropriate space for these functions. The Assistant Regional Administrator

(Continued on page 3)

### **Archives and Records Management Move**

(Continued from page 2)

will also be located at the temporary building. We have specified a 5 year lease (3 year firm) for this space.

The rule of thumb is if you are an Archives researcher interested in reviewing original records you will need to schedule an appointment to visit the Archives at the Federal Records Center. If, however, you are attending a public program or an educational session, viewing microfilm or using public access computers you would need to go to the temporary rental space.

The temporary rental space will also have a meeting room which will be used to host meetings with teachers, students, agency representatives as well as a place to hold Records Management workshops.

The size of this rental office space will be 5,000 square feet.

#### **Permanent Building Next**

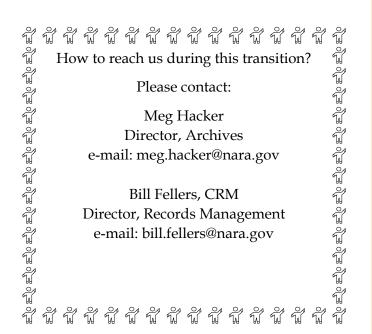
Meanwhile, we are continuing to work with GSA on the planning, design and construction of a modest Archival Building to be located somewhere in the Fort Worth area within the next few years. This building, which is anticipated to be 20,000+ square feet, will contain the following:

- Research Rooms (both textual or original records as well as microfilm)
- Education Center (includes meeting space, distance learning studio)
- Exhibit Gallery (original documents from NARA, the region, as well as appropriate traveling exhibits)
- Records Management
- Regional Administrator's Office
- Gift Shop (modest size)
   Up to 5,000 square feet of stack space for high use / high value original records

Over the past few years there was an effort by local stakeholders, called Archival Holdings, Inc., which attempted to assist NARA in getting a building constructed in the Fort Worth Cultural District on property adjacent to the Fort Worth Science and History Museum. The City actually entered into an agreement with the group to provide the property at \$10 a year for 99 years so that the property could be used for the new development of a NARA regional facility. However, it was determined by NARA's legal staff that the best route for this project would be to enter into an open solicitation through GSA and hopefully we would find a location roughly comparable to the Cultural District site.

At the time this newsletter is going to press we do not have this project finalized in regard to the site, building size, design, etc. Although we are working on this project simultaneously with the temporary rental space – it is the latter project which is the most urgent. By early Summer we should be announcing the details about the temporary location – and then sometime over the next year we should finalize the permanent building location and scope.

So, stay tuned for more details...



### **Staff Changes**

#### **NARA-SW Region**

#### Welcomes Our New Director of Records Center Operations, Darin Coté



Darin Coté. Director *Photograph by Barry Drennon.* 

Darin Coté joined the Record Center Staff in October 2008. He comes to us from the Fort Worth Independent School District (FWISD), where he spent four years as the District's Student Records Coordinator. Highlights of his tenure with FWISD include:

- Creation of a record center for inactive student files
- Completion of a needs assessment to determine proper management of District records
- Bringing on-line an imaging system used to manage nearly 20 years of student transcripts
- Development of an automated taskbased system for tracking labor metrics.

Coté is nearing completion of his designation as Certified Records Manager, with 5 of 6 parts completed. He is currently the Vice President of Finance and Treasurer for the Fort Worth Chapter of ARMA, an international association of records managers and administrators. He holds a Master of Arts in Political Science from the University of Massachusetts at Amherst, and a Bachelor of Arts in Economics from the State University of New York at Potsdam.

Shortly after graduation, Coté joined the Federal Service. He spent seven years with the United States Department of Agriculture (USDA) in Washington, D.C., working primarily as a Program Specialist for the Farm Service Agency. While there, he was instrumental in successfully implementing several federal subsidy and loan programs. In addition, he served as project manager for the Customer Information Management Team, leading an effort to provide a standard customer information database for use by four different USDA agencies. His project management expertise led to consulting work with Gateway Computers, where he led the successful implementation of an on-line Point of Sale (POS) system for Gateway Country Stores.

Coté is thrilled to be back in Federal Service, and is eager to tackle the challenges that await him in the Southwest Regional Federal Records Center. He recently attended a national level NARA work group in College Park, MD, aimed at ensuring an enterprisewide approach to marketing for the Federal Records Centers. He hopes to leverage that effort, as well as the efficiencies generated from the ARCIS program, in order to better communicate our services to our customers while also learning more about their operations.

Contact information: Phone: 817-551-2003 or e-mail: darin.cote@nara.gov



### **Staff Changes**

#### Meet Kevin Smith, CA, Manager of the NEW E-Services Section



Kevin Smith. *Photograph by Barbara Jo Smith.* 

The Federal Records Center Program is renowned for the record center services it provides. For decades over 100 agencies within the Southwest Region have trusted us to securely store and promptly retrieve their paper records.

The Fort Worth Federal Records Center continues that tradition by now offering top-quality storage and services for Federal electronic records.

The services include:

- Electronic Media Storage (Vault Storage)
- Digital Imaging Services (Scanning)
- Disposal Services for E-records
  - Secure Media Shredding
  - Hard Drive Crushing
  - Degaussing
- Smart Scan Electronic Delivery Service (Electronic Reference)
- Micrographic Services

In order to facilitate these new services, NARA-SW Region Federal Records Center Program has a new section dedicated to E-Services. The new manager of this section is Kevin Smith.

Smith came to NARA from private industry, August 2000, and has been a part of the Transfer and Disposition team since 2003. He assumed the assignment to the E-Services section, Southwest Region, September 2008.

A native of Massachusetts and a veteran, and a member of the U.S. Army Vietnam (USARV), Smith received his Bachelor's Degree in History from Loyola University, Chicago and a Master's degree in American Studies from the University of Dallas. He is a Certified Archivist and has completed coursework leading to a Graduate Certificate in Archives Management, University of Texas, Arlington.

His experience in management, marketing and product development in businesses supporting flexography, gravure and offset printing provides a complementary approach to managing digital conversion processes on a production scale. He was Director of Manufacturing in plant operations in both Lake Forest, Illinois and Fort Worth, Texas.

Smith defines the task of E-Services as providing responsive, creative answers to electronic records questions: storage, digitization, transfer and disposal.

Working with clients to determine needs and outcomes is formative to the operations within E-Services and a guide to service improvements. The digital imaging lab, the electronic storage vault and our other e-records products and services are proving to be pivotal elements in the entire scope of Records Center operations and from this point, expectations are high.

Contact information: Phone 817-551-2039 or e-mail at kevin.smith@nara.gov



## Regional Archives Educational Programming

The Southwest Region provided educational programs for thousands of students over the past year by using the technology of distance learning. This technology allows us to visit classrooms throughout Texas, Louisiana, Oklahoma, Arkansas, the United States, and even the world! Distance learning allows students who would not normally be able to visit the Southwest Region the opportunity to view primary sources in our holdings through the use of a document camera. In addition, the technology enables students participating at various sites to have discussions and interact with staff members at the Southwest Region.

Did you know that documents created by many presidents can be found at the Southwest Region? *Presidential Powers*, a distance learning program, was developed

to highlight these historical records. The program focuses on the powers of the president defined in Article II of the Constitution. The documents illustrate the president's powers to appoint officials, pardon those that have committed an offense against the United States, and negotiate treaties.

One of the documents used in the program is signed by President Thomas Jefferson and Secretary of State James Madison out of our U.S. Customs House Records In New Orleans, Louisiana.

| Thomas Sefferson, PRESIDENT of the UNITED STATES of AMERICA, to all who shall see these presents, GREETING:  |
|--|
| Thomas Signatur, TRESIDENT of the ONTIED STATES of AMERICA,  |
| /TO ALL WHO SHALL SEE THESE PRESENTS, GREETING:  |
|  |
| Know De, That reposing special Trust and Confidence in the Integrity, Diligence and Discretion of Hove Browse Srist  |
| of the Mysilsippi Turitory , I have nominated, and by and with the Advice and Consent of the Senate, Do appoint him Collector for the review of confession   |
| Senate, Do Appoint him Collector for the Divines of congregation   |
| I be attended and continuer him to execute and fulfil the Duties of that Office according to law; and to paid and to pool the said Office,   |
| with all the Rights and Emcluments thereunto legally appertaining, unto him the said Hore Browst Frist, during the   |
| Pleasure of the President of the United States for the time being.   |
|  |
| In Testimony whereof, I have caused these Letters to be made Latent, and the Seal of the United States   |
| to be hereunto affixed.  |
| Given under my Hand, at the City of Washington, the Eighteenth - Day of November   |
| in the Year of our Lord one Thousand eight Hundred and three and of the Independence of  |
| the United States of America, the Twenty Eghth.  |
| The state of the s |
| By the President,  |
|  |
| James Marion Secretary of State.   |
| James contains   |
|  |

Presidential Appointment signed by President Thomas Jefferson and Secretary of State James Madison, 1803. Record Group: 036 Records of the U.S. Customs Service, NARA-SW Regional Archives

(Continued on page 7)

## Regional Archives **Educational Programming**

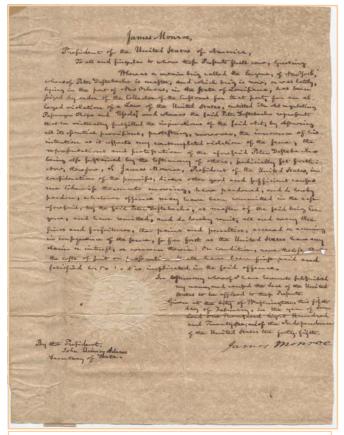
(Continued from page 6)

In 1803, the United States purchased Louisiana from France and the United States literally doubled its size over night. With the purchase of this new land, the port of New Orleans became a major player in the import of goods and people to the country. In order to make sure the United States was capturing the revenue from the active port, President Thomas Jefferson appointed a gentleman named, Hore Browse Trist as Collector of Customs.

Another document highlighted is a presidential pardon of Peter Destebecho by James Monroe. The *Brig Eugene* was seized while lying in the port of New Orleans, in the State of Louisiana, by the Collector of Customs for allegedly violating a law entitled "An Act regulating Passenger Ships and Vessels." As master of the *Brig Eugene*, Peter Destebecho was accused of this crime, but he pleaded his innocence. Because of his testimony and the testimonies of others, Destebecho was pardoned by Monroe. This pardon is out of the Records of the United States District/Bankruptcy Court for the Eastern District of Louisiana.

A document out of our Bureau of Indian Affairs records and signed by James K. Polk fulfills the conditions of the *Dancing Rabbit Creek Treaty*, negotiated and signed fifteen years earlier by Andrew Jackson. According to the treaty, any Choctaw Indian choosing to stay in the land ceded to the United States by the Choctaw Nation must become a citizen of the United States and was entitled to land. Ha-cubbe, a Choctaw Indian, was therefore entitled as head of a family to one section of land in what is current day Mississippi. Polk's signature on this document ensured Ha-cubbe the right to land.

In addition to the regularly scheduled distance learning programs, the Southwest Region participated in Megaconference X, Breaking Down the Barriers: Global Connections on November 6, 2008. The Megaconference is the world's largest video conference which highlights the use of videoconferencing in education. It connects students and educators across the globe for a day filled with learning on a variety of topics. Over 2,000 students participated at 188 different sites including sites in the countries of Australia, Canada, Croatia, Finland, India, Netherlands, Slovenia, Swe-



Presidential pardon of Peter Destebecho signed by President James Monroe and Secretary of State John Quincy Adams, 1821. Record Group 036 Records of the U.S. Customs Service, NARA-SW Regional Archives

den, Taiwan, Wales, and of course the United States. An introduction to the Southwest Region's holdings, *Great Minds Using Great Records*, was presented.

The upcoming year looks bright for Distance Learning at the Southwest Region! Many programs are in development including the following topics: NASA, The Election of 1860, Oklahoma Records, Louisiana Records, and Texas Records.

For more information on these and other programs please contact Jenny McMillen Sweeney, Education Specialist at jenny.mcmillen@nara.gov or 817-831-5917.

## Records Management E-Records Forum and RACO Texas

#### E-Records Forum, April 14, 2009

Don't miss this chance to hear:

## David Weinberger, PhD "Everything is Miscellaneous"

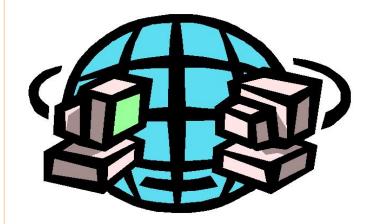
David Weinberger will be talking about his latest book, Everything Is Miscellaneous: The Power of the New Digital Disorder. This book explains how the new rules for organizing ideas and information are transforming business and culture. The Wall Street Journal called him a "marketing guru." He's the 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.

Other topics on April 14th will include:

- Panel discussion on Web 2.0 and the records management issues in using these new web tools:
  - Pat Galloway, PhD, School of Information, The University of Texas at Austin - Email, Wiki's, Web 2.0
  - **Robin Riat, CRM**, Senior Records Analyst, National Archives and Records Administration Central Plains Region Records Management Program – *Ready for Web* 2.0?

- **Conor R. Crowley, Esq** Partner of Daley Crowley LLP/www.daleylegal.com *E-Discovery*
- **Karen Strong,** Partner, Gimmal Group -Bringing Electronic Information Back to Life
- Panel discussion on Architecture Centric RM
  - **Michael Miller, PhD,** Director RIM Consulting, Lockhead Martin,
  - Reynolds Cahoon, Director Advanced Programs
- Cathy Hartman, Assistant Dean for Digital and Information Technologies, University of North Texas, Denton *Nuts and Bolts: Preserving Digital Content at the University of North Texas*

NARA-SW Co-sponsors the E-Records Forum with:



E-Records Forum Tuesday, April 14, 2009

- National Association of Government Archives and Records Administrators (NAGARA)
- Texas State Library and Archives Commission
- University of Texas at Austin School of Information
- Society of Southwest Archivists

### Records Management E-Records Forum and RACO Texas

#### RACO Texas, April 15, 2009

- Panel discussion on National Archives and Records Administration E-Systems under development and E-Records Toolkits
  - **Kenneth Thibodeau, PhD**, Director, Electronic Records Archives Program, National Archives and Records Administration *ERA Update*
  - John McEvoy, IT Specialist, National Archives and Records Administration, Office of Regional Records Services
     Are You ARCIS Ready?
  - **Susan Sullivan, CRM**, National Archives and Records Administration, Modern Records Programs, ERM Policy Team *E-Records Toolkits Briefing/Demo*
- **Dan Bennett**, Records Officer, U. S. Department of Treasury, Internal Revenue Service, *Building a Comprehensive Records Management Architecture for Electronic Records at the IRS*
- Suzanne Acar, PhD, Senior Information Architect and Co-chair, Federal Data Architecture Subcommittee (DAS), Office of the Secretary (OCIO), U. S. Department of the Interior – Managing Data and Information as National Assets
- Records Management Application (RMA) Case Studies
  - Susan L. Sallaway, CRM, U. S. Department of Treasury, Office of the Comptroller of the Currency WISDM EDMS/RMA Case Study
  - Barbara Voss, Regional Administrator, National Archives and Records Administration, Rocky Mountain Region, Federal Business Case: Microsoft Sharepoint RMA Case Study (TRIP)

- Ralph Johnson, Manager, Information Management Group, Minerals Management Service, Denver, RMA Case Study
- Disaster Recovery and Continuity of Operations (COOP)
  - Howard Lowell, External Coordinator for Disaster Recovery and Response, National Archives and Records Administration
  - **Daniel W. Bennett,** Records Officer, U. S. Department of Treasury, Internal Revenue Service *Hurricanes Dolly and Ike*
  - Michael Baimbridge, Jr., Senior Records Analyst National Archives and Records Administration, Southwest Region
  - **Brad McDannald,** Federal Emergency Management Agency
  - **George B. Huff, Jr., CBCP,** Senior Attorney-Advisor, Space and Facilities Division/Judiciary Emergency Preparedness Office, Administrative Office of the U.S. Courts *Emergency Preparedness and Continuity of Operation Planning in the U.S. Courts*.



REGISTRATION INFORMATION:

Attending both days: \$259.00 E-Records Forum Only: \$169.00 RACO Texas Only \$169.00 To Register Contact John Garza at 817-831-5919 or

e-mail: ftworth.workshop@nara.gov

Hotel: Omni 700 San Jacinto at 8th Street, Austin, Texas

Phone: (512) 476-3700, Fax: (512) 397-4888

## Records Management Highlights from E-Records Forum 2008

Electronic records continue to be one of the biggest challenges facing federal agencies and the National Archives. The E-Records Forum is an annual event sponsored by NARA-SW Region Records Management Program. Since its inception in 2002, the conference has gained a reputation for presenting speakers on a wide variety of electronic records management issues that are always current and often unusual. Last year, the event held on April 17-18, 2008, was attended by over 140 people representing federal, state, local government agencies, corporations, and cultural heritage institutions from eleven states and Canada.



E-Records Forum 2008 at the University of Texas at Austin J. J. Pickle Commons Center. *Photograph by Cindy C. Smolovik* 

#### Topics at the 2008 forum included:

- "The Good, the Bad, and the Downright Ugly: A
   Step by Step Approach to Auditing Your Electronic Records Program," by Tad Howington,
   CRM, FAI, Electric Reliability Council of Texas
   (ERCOT)
- "Data Management, Governance, Stewardship and the Convergence of Records Management Roles/Responsibilities," by Jerry Wharton, Department of Interior/Minerals Management Service/Offshore Minerals Management
- "Managing Municipal Government E-Records: A Case Study," by Bob Guz, City of Austin



E-Records Forum 2008 at the University of Texas at Austin J. J. Pickle Commons Center. *Photograph by Cindy C. Smolovik* 



Michael Alsup, Gimmel Group, E-Records Forum 2008. *Photograph by Cindy C. Smolovik* 

- "New Optical Technologies for Recorded Sound Preservation and Access," by Dr. Carl Haber, Senior Scientist, Physics Division Lawrence Berkeley National Lab
- "Building Trustworthy Digital Preservation Repositories," by Dr. Regan Moore, San Diego Supercomputer Center

(Continued on page 11)

## Records Management Highlights from E-Records Forum 2008

(Continued from page 10)

- "Building the Digital Repository with the Electronic Records Management System (ERMS)," by Carol Brock, CRM, Federal General Accountability Office (GAO)
- Three presentations by NARA staff members including two presentations by Mark Giguere:
  - "Records Management Service Component (RMSC) and PDF/A," and PKI and Electronic Records Management," and
  - "Managing Electronic Document Lifecycles for the Enterprise"
  - Meg Phillips gave a briefing on the Electronic Records Archives (ERA).
- Two presentations from the Gimmal Group:
  - "Managing Electronic Document Lifecycles for the Enterprise," by Mike Alsup
  - "Challenges and Solutions Managing GIS Records," by Dr. Susan Cisco, PhD, CRM, FAI and Lisa Derenthal
- The conference ended with a discussion by attorney Craig Ball on e-discovery and forensics.

NARA-SW Region partners with the following organizations to co-sponsor this event:

- Texas State Library and Archives Commission;
- University of Texas at Austin School of Information;
- National Association of Government Archives and Records Administrators; and
- Society of Southwest Archivists.

#### **Comments from attendees:**

"I came to the conference without any experience at all - just given the task of Senior Records Mgt Officer. . At my govt. field office ...I have been to many meetings and trainings forums, but this was the best forum by far! ..... "

"I wasn't too happy w/my new assignment - however, now I am very excited about RM and I am looking forward to learning all I can about it and doing a good job. So glad I came to the forum. I hope to come to another conference by NARA."

"Craig Ball was brilliant! Great ending!"

"Good mix of practical application, updates on technology, and interesting"

Quotes from E-Forum 2008 evaluation forms

## Records Management Four Agencies Assigned to NARA-SW

One of the facets of NARA's National Records Management Program includes the "regionalization" of records management activities for a variety of agencies. This means that scheduling and appraisal, along with other records management needs of these agencies, have been decentralized from the Washington DC./College Park headquarters of NARA to regional offices.

As part of this initiative, the NARA-SW Region is now working especially close with Minerals Management Service—an agency within the Department of the Interior; Southwestern Power Administration which has ties to the Department of Energy; Army-Air Force Exchange Service which has ties to the Department of Defense; and the International Boundary and Water Commission.

NARA-SW Region records management staff is actively working with these agencies on inventory, records schedule updates, and training projects.



Brian McCauley, Records Officer with conference speaker Jerry Wharton, Department of Interior, Minerals Management Service. *Photograph by Cindy C. Smolovik* 



Zenon Moya, Records Officer, International Boundary and Water Commission, at E-Records Forum 2008.

Photograph by Cindy C. Smolovik

AAFES Records Management Staff. 1st Row (left to right): Jeannie Cortes, Tina Sosa-Kerr 2nd Row (left to right): Jack Christensen, Shanna Jones, and Carlita Burkes., 2008. *Photograph* by Annette Maldonado



Miya Boykin, Records Officer, Southwestern Power Administration, at E-Records Forum 2008.

Photograph by Cindy C. Smolovik

## Records Management Training – Southwest Region January – September 2009

#### **Basic Records Operations**

This course describes what to file, how to file it, and how to remove files no longer needed for current business. It covers the variety of activities in the maintenance and use, as well as disposition, of Federal Records. It presents practical "howtos" in handling records of various types. (1 day \$150)

January 13, 2009

February 11, 2009

Fort Worth, TX

May 13, 2009

Fort Worth, TX

July 15, 2009

Houston, TX

September 9, 2009

Fort Worth, TX

## **Electronic Records Management Course**

Electronic Records are no longer the wave of the future—they are current practice and effecting how federal records are created, used, and maintained. This new course offers an introduction to the terminology; information on defining, developing and building recordkeeping requirements for electronic information systems; and an overview of appraisal, retention scheduling and retention schedule implementation for electronic records. (2 days \$300)

January 14-15, 2009 Austin, TX July 16-17, 2009 Houston, TX

#### Records Management Training Certification Program Knowledge Area Courses

NARA offers an optional certification program for individuals who successfully complete training in Federal records management. Participants may take examinations upon completion of Knowledge Areas Two through Six. Those who successfully pass all five examinations will receive NARA's Certificate of Federal Records Management Training, signed by the Archivist of the United States.

#### <u>Creating and Maintaining Agency Business</u> <u>Information</u> (Knowledge Area 2)

What are Federal records management requirements, how are they applied to agency records, and why are they important? Find the solutions to these important questions and their application to everyday challenges in managing Federal information. (2 days \$300)

February 24-25, 2009 Oklahoma City, OK September 15-16, 2009 Fort Worth, TX

## Records Scheduling (Knowledge Area 3)

What do you do with information and records that you no longer need for business purposes? How you schedule your records determines the basis for meeting your agency's operating, fiscal and legal needs. Find out the legal requirements and practical advantages in scheduling records and the disposition practices necessary to meet an agency's business needs, with this overview of agency and NARA responsibilities. (2 days \$300)

March 2-3, 2009 Oklahoma City, OK September 21-22, 2009 Fort Worth, TX

## Records Schedule Implementation (Knowledge Area 4)

What to do with all those boxes of records? Utilizing a Records Retention Schedule or records manual is easier than you think. This course provides an overview of applying an approved records schedule. Included are instructions for applying the General Records Schedule, disposing of temporary records or retiring them to off-site storage, transferring permanent records to NARA. (2 days \$300)

February 26-27, 2009 Oklahoma City, OK September 17-18, 2009 Fort Worth, TX

On-line registration at http://nara.learn.com

For more information contact: John Garza at

817-831-5919 or e-mail ftworth.workshop@nara.gov

(Continued on page 14)

## Records Management Training – Southwest Region January – September 2009

(Continued from page 13)

## Asset and Risk Management (Knowledge Area 5)

Are records valuable assets to your agency business process? Of course! How you manage your assets by applying appropriate records management procedures is a critical element of risk management in any organization. Learn the fundamentals of risk management and cost benefit analysis and how they relate to maintaining a viable records management program. This course is designed to raise the awareness of risk situations and provide managers with the decision-making tools they need to address current and future program needs. (2 days \$300)

March 4-5, 2009 September 23-24, 2009

Oklahoma City, OK Fort Worth, TX

## Records Management Program Development (Knowledge Area 6)

There are many layers of a Federal Records Management program. Learn the concepts and practices involved in developing and assessing an effective records management program, publicizing and promoting that program within a Federal agency, and training employees in the basics of records management. (1 day \$150)

March 6, 2009 September 25, 2009 Oklahoma City, OK Fort Worth, TX

At the end of this practical skills-level course, participants will be able to:

- Plan an emergency response program for records
- Distinguish between a record and a vital record
- Identify and assess hazards and risks to vital records
- Identify protection strategies for vital records
- Develop procedures to ensure access and security of vital records
- Write a Records Emergency Action Plan
- Assess damage to records
- Decide on recovery techniques for damaged records Length: - 2 days Cost: \$300

## Half day Courses and Briefings Free – Scheduled upon request

## **Survival Guide for IT Professionals: Information Assurance and Records Management**

IT professionals are in unique positions related to electronic records as they administer the systems of an agency. They are often responsible for the servers that house the records an agency creates and for software that manages documents and records. This half-day course is designed to raise awareness within the IT community of the legal responsibilities for records management and the consequences for noncompliance that are directly tied to IT. This course will discuss system requirements, transfer specifications for electronic records and other topics. It will cover resources that are available to assist the IT professional as they perform their duties.

## Recordkeeping: A Program Manager's Survival Guide

In today's business environment, the manager who has the relevant data first often wins, either by making a better, more informed decision or by responding efficiently to information requested. Effective records management can help ensure that managers and executives have the information they need when they need it. This half-day course provides a practical guide to policies, procedures, and legal requirements for managing program information.

#### Pick your own schedule

Our dates and places don't match yours? Help us find a place and date that does. If you can help us gather a minimum of ten people in your location we will coordinate dates and come to you. For more information about this program contact Bill Fellers at 817-831-5918 or e-mail bill.fellers@nara.gov.

## ARCIS Your online portal to the Federal Records Centers

#### WHAT IS ARCIS?

ARCIS—the Archives and Records Centers Information
System—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 FRCs.

ARCIS will be rolled out at all Federal Records Centers in 2008 and 2009 (see the ARCIS deployment schedule on the next page).

#### WHAT WILL ARCIS DO?

ARCIS will allow your agency to conduct all transactions online, saving you time and reducing paperwork. The system also lets you track your transactions electronically, giving you instant access to information about your records. And ARCIS does all of this in a secure, user-friendly environment.

#### ARCIS will help you. . .

#### EXPEDITE DATA ENTRY

- Your profile is saved in the system so that frequently entered information—for example, your address and record group—gets filled in automatically every time you log in.
- Easy-to-use drop-down menus make it simple to select the right options for your transaction.

#### KEEP TRACK OF PAST TRANSACTIONS

 ARCIS automatically saves information on all your transactions, which can be tracked and printed as needed.

## ACCESS INFORMATION ANYTIME, ANYWHERE, FROM ANY COMPUTER

• If you can access the Internet, you can access ARCIS. Information in the system is always up to date.

#### ENHANCE THE SECURITY OF YOUR TRANSACTIONS

- ARCIS is a secure, web-based system that runs on all standard browsers. It will never require you to install software or other executable programs that could compromise security, and it never stores cookies. Security features include:
  - User authentication for secured system access using directory service (LDAP)
  - · Password encryption
  - SSL encryption between browser and web server
  - End-to-end encryption for data confidentiality between server components
  - · Roles-based restricted access to system functions
  - Secure physical deployment to prevent intrusion
  - Ability to restrict access to certain records (such as classified) to approved subgroups of users

#### LEARN THE SYSTEM QUICKLY

• ARCIS's intuitive design makes it easy to learn and use.

• A number of helpful resources—including webinars, tutorials, FAQs, and manuals—are available online.

 Live help is just a phone call or a mouse click away at the ARCIS help desk.

#### WHAT WILL ARCIS DO FOR FEDERAL RECORDS OFFICERS?

#### ARCIS will help you...

#### IMPROVE CONTROL OVER ACCESS TO YOUR RECORDS

- You have *complete control* over how many users have access to your records, who those users are, and what they are allowed to do.
- · You can restrict the roles of individual users. For example, you can grant reference authority to a wide group of users while restricting disposal authority to a smaller group.
- All users will have *named access*, so you always know who logged in and what transactions they made.
- You can manage user access online from any computer, at any time.

#### MANAGE RECORDS TRANSACTIONS FOR YOUR AGENCY AT A MACRO LEVEL

• ARCIS will allow you to see all of your agency's transactions—from initiation to completion—for all your agency users.

#### WHAT WILL ARCIS DO FOR FRONT-LINE FRC CUSTOMERS?

#### ARCIS will help you...

#### REDUCE PAPERWORK

- · You no longer need to type, copy, and mail forms—all transactions can be completed and submitted right from your computer.
- Transfer and disposal approvals can be given online; no signature is required.

#### **EXPEDITE TRANSACTIONS**

• When you submit information online, it is instantly received by your FRC, which can go to work immediately to process your transaction.

#### FIND YOUR RECORDS FASTER

· ARCIS maintains location information on your records, so you no longer have to. When you want to recall a record, all you need is the transfer number—the system remembers the location. And if your records are ever relocated, the system updates the location automatically.

#### TRACK YOUR RECORDS

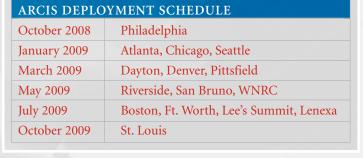
- · All new transactions will be bar coded, and the bar codes will be scanned by FRC staff as transactions are processed.
- · ARCIS uses industry-standard bar codes that you can use with your own equipment for local inventory control.

#### WHEN IS ARCIS COMING?

ARCIS is being launched at Federal Records Centers around the country on an incremental schedule. Take a look to see when ARCIS is coming to your local FRC.







## Records Center Operations Degaussing Services

#### Degaussing Magnetic Data Storage Media

**Degaussing** is the process of decreasing or eliminating an unwanted magnetic field. It is named after Carl Friedrich Gauss, an early researcher in the field of magnetism. (*Wikipedia*)

The FRC degaussing process renders data stored on magnetic media unreadable by changing the magnetic properties of the media surface. When a stronger alternating field is applied, magnetic flux is reduced to virtually zero, and exposed

data is lost, leaving the magnetic media in a magnetically neutral state. Degaussing is available for hard drives and certain types of removable electronic media, such as backup tapes and digital

For service costs and other information:

**Contact Kevin Smith** 

Phone: 817-551-2039

e-mail: kevin.smith@nara.gov



Degaussing Equipment now in service, NARA-SW Region Federal Records Center Program, 2008. *Photograph by Kevin Smith.* 



### **Records Center Operations**

#### Digital Imaging (Scanning) Services

The Federal Records Centers now offer digital imaging services to create scanned files of your agency's paper records. Digitizing paper records provides you with backup copies for key documents, gives instant access to frequently referenced records, and preserves the integrity of fragile or aging paper originals. It even saves office space, since paper records can be promptly transferred to the FRC after scanning. FRC's new digital imaging lab services include:

- Conversion services (paper to digital) for both temporary and permanent (archival) records
- Formats such as PDF, JPEG, TIFF, XML, and others
- Optical Character Recognition (OCR)
- Custom levels of scanning--from basic scanning for administrative copies to premium scanning that meets NARA requirements for permanent erecords

- Strict quality control measures, from a predetermined sample size up to 100% verification
- Indexing services for as many metadata items as your agency requires
- Back-up storage available for digitized records in the new FRC Electronic Records Vault (ERV)
- All necessary document preparation, including removal of staples, paper clips and binders
- Custom services for special formats (books, photos, cards, 35mm slides, large formats, etc.)
- Oversize Scans up to 36 inches in width

For service costs and other information:

**Contact Kevin Smith** 

Phone: 817-551-2039

e-mail: kevin.smith@nara.gov



Veronica Kelly (left) and Deborah Stone (right) and Jackie Keaton (seated) using the new OCE™ TCS50. This equipment is a 36" Wide-Format Scanner/Printer for oversize maps and drawings. NARA-SW Region Federal Records Center Program, 2008. *Photograph by Kevin Smith*.

### **Records Center Operations Hard Drive Disposal Services**

When you absolutely need to ensure that your hard drives have been destroyed, we recommend a two step process, i.e., degauss then crush. The FRC can now do this. We can completely physically destroy your agency's hard drives. The FRC's hydraulically-loaded crushing machine can destroy from .65 to 1.65 inch hard drives including laptop drives. The crusher uses 12,000 lbs of force to produce a conical punch which causes catastrophic trauma to the hard drive chassis while also destroying the internal platter. This force is sufficient to mutilate the drive so that it cannot be reconnected or reinserted into a functioning computer.



Quynston Allen demonstrates hard drives before and after crushing. *Photograph by Kevin Smith* 



Hard drive being fed into the crusher after being degaussed. *Photograph by Kevin Smith* 



Close up of hard drive after crushing process is completed. *Photograph by Kevin Smith* 



### Records Center Operations From the FRC Toolkit

FRC Toolkit, can be found on our website at http://www.archives.gov/frc/toolkit.html. It is intended to serve as a resource for Federal employees with records management responsibilities. It provides step-by-step instructions for transferring, retrieving, and returning records to a Federal Records Center as well as information on records disposition and accession of records into the National Archives at the end of their retention. It also provides definitions of key terms, which are highlighted throughout the document.

#### Materials and Supplies

The FRCs require agencies to use specific types of materials for preparing records transfers.

Standard-size record boxes can be ordered directly from the FRC. Please visit the FRC web site (www.archives.gov/frc) for updates.

#### Which Boxes do I us?

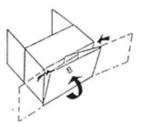
- Standard-size record box (14¾" x 12" x9½") for legal- or letter-size files (NSN 8115-00-1178249). Please note: Boxes exceeding these dimensions will not fit on FRC shelving. If your records do not fit into a standard box with these measurements, please call us to discuss alternatives before choosing a different size box.
- Special-purpose boxes
  - **Half-size box** (14¾" x9½" x4¾")NSN 8115-00-117-8338
  - **X-ray box** (18" x 15" x5½")NSN 8115-00-290-3386

#### Other Useful Materials to have on hand

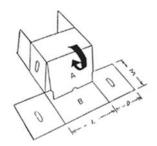
You may also wish to purchase the following supplies to prepare your records for shipment to the FRC:

- Clear packing tape (does not obscure numbers)
- Black felt-tip markers

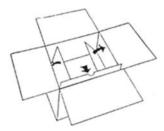
#### **Box Assembly Instructions**



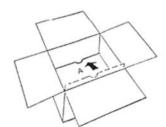
STEP 1. Square up box on this side, and fold flap A inside.



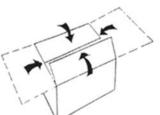
STEP 2. Fold extensions over on flap B, and fold to closed position.



STEP 3. Lift flap A to vertical position, then lift and fold extensions of flap B up against end walls of box.



STEP 4. Lower flap A to bottom of box



STEP 5. Fold all flaps in (small flaps first, large flaps last).



## National Archives Announces Successful Completion of A Major Milestone For The Electronic Records Archives

The Electronic Records Archives – known as 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. ERA will be one of the most important services that NARA can offer to the public in the coming decade.

#### The Electronic Records Challenge

More and more we communicate by computer. That means our records--records of critical importance to every one of us--such as e-mail messages and word-processing documents are increasingly electronic.

In the Federal Government, electronic records are as indispensable as their paper predecessors to document citizens' rights, the actions for which officials are accountable, and the nation's history. Effective democracy depends on access to such records.

Electronic records, however, pose a critical challenge to NARA. In order to fulfill its mandate to provide ready access to essential evidence to the citizens and the Government of the United States, NARA must address and solve the dilemma of preserving and accessing electronic records that are complex by nature, diverse in format and exponentially increasing in volume. The rate of technological obsolescence is such that records created and accessed even two years ago may now be unreadable. Unless this challenge is confronted and surmounted, there will be no National Archives for the digital era.

The Initial Operating Capability of the National Archives Electronic Records Archives (ERA) announced June 2008 is the beginning of far-reaching changes in the management of U.S. government records.

In its initial stage, the new system will support the basic process of determining how long Federal agencies need to keep records and whether the records should be preserved in the National Archives afterwards. ERA will support this process for all Federal records, whether they are paper, film, electronic, or other media.

ERA is a multi-year project spearheaded by the National Archives and Lockheed Martin, the development contractor, to create a 'permanent' solution for the ever-changing challenge of preserving electronic records. Because new formats of electronic records are constantly being created and older formats become obsolete quickly, the 'permanent' solution cannot be a one-time fix. It has to be a dynamic system which can grow to accommodate ever-increasing volumes, be extended to deal with new formats, and evolve to enable records on obsolete formats to be accessed on new computers. The goal is to enable researchers 50 or 100 years from now to find and retrieve electronic records using the best technology available to them, regardless of what hardware or software was used to create them. ERA will also move record keeping out of filing cabinets and into cyberspace. It provides a foundation for the National Archives and all other Federal agencies to perform business transactions online to improve the way government records are organized, stored, and retrieved. Besides the direct benefit to government, these capabilities will make it easier for citizens to discover what records the government has and to access them.

The National Archives also has received ongoing counsel from the Advisory Committee on ERA which is chartered under the Federal Advisory Committee Act to advise the Archivist of the United States on technical, mission, and service issues related to ERA. Its members include experts in archives, records management, libraries, computer science, history, and the law, including representatives of other Federal agencies and of state governments.

In the next stage, deployed in December 2008, ERA is now absorbing massive quantities of Presidential electronic files from the George W. Bush Administration.

In 2010, the National Archives intends to make the system available to the public. Ultimately, the Archives expects the system to be able to preserve and provide access to ever-increasing volumes of important electronic records of the Federal government, even long after the hardware and software used to create them has become obsolete.

#### First Preserver Initiative

**By Howard Lowell,** External Coordinator for Disaster Recovery and Response

#### First Preserver - The Context.

The 2005 hurricane season – particularly Hurricanes Katrina and Rita – devastated the Gulf Coast. Lives were lost; property ruined; thousands were displaced from their homes. Government and historical records were not spared. Indeed, records custodians took away many "lessons learned" from these events. NARA was no exception. Here's how we've applied, and continue to apply, the lessons we learned in an initiative the recently retired Archivist of the United States Allen Weinstein quickly dubbed "First Preserver."

NARA has long advocated that Federal agencies have a vital records program to ensure that agencies can reconstitute services following a disaster.

- http://archives.gov/about/regulations/part-1236.html Department of Homeland Security and FEMA requirements in Federal Continuity Directive #1 also stress vital records for continuity of operations (COOP).
- http://fema.gov/government/coop/index.shtm

In most cases Federal agencies were successful following Katrina and Rita in implementing continuity of operations plans and reconstituting mission essential functions, although the same could not be said for state and local governments. However, what surprised NARA and other government entities following Katrina was the lack of recognition of records as a valued government asset in the National Response Plan (now the National Response Framework) that governed response and recovery efforts in 2005.

For further information on First Preserver:

Send e-mail to: howard.lowell@nara.gov

#### What Has NARA Done?

Successful emergency response mandates planning, preparedness, and partnerships. NARA has focused on each of these in the three years since Katrina and Rita. We have:

- Formalized First Preserver as a distinct program within our Strategic Plan.
- Tasked an interoffice oversight group representing senior NARA preservation staff, emergency management staff, regional administrators and the Information Security Oversight Office to advise and lead First Preserver.
- Assigned a GS-15 position to effect First Preserver in coordination with NARA's National Records Management Program staff around the country.
- Revised our Emergency Planning and Response for Vital Records and Essential Information training curriculum that is now offered in each NARA region every year. https://nara.learn.com/learncenter.asp
- Created a portal on the NARA website that provides emergency planning and response information for Federal agencies, state and local governments, historical records repositories, and the general public.
  - http://archives.gov/preservation/recordsemergency/
- Worked with colleagues within the Federal emergency response community to define records as an asset that is addressed in emergency management through the National Infrastructure Protection Plan (NIPP) http://www.dhs.gov/nipp and the National Response Framework. http://www.fema.gov/emergency/nrf/
- Partnered with the Department of Interior in the Emergency Support Function #11 (ESF-#11) Annex to the National Response Framework that now specifically includes government records as assets eligible for recovery following a disaster.

(Continued on page 23)

#### First Preserver Initiative

(Continued from page 22)

http://www.fema.gov/pdf/emergency/nrf/nrf-esf-11.pdf

- Participated in the Heritage Preservation Alliance for Response initiative, a national program that builds bridges between the cultural heritage and emergency response communities before disasters happen.
  - http://www.heritagepreservation.org/AfR/index.html
- Partnered with FEMA's National Continuity Programs Directorate Continuity of Operations Division to provide greater emphasis on vital records as critical to the continuity of government operations.
  - http://www.fema.gov/about/org/ncp/coop/in dex.shtm
- Partnered with the Council of State Archivists (CoSA) and FEMA in an initiative to provide vital records and emergency management training to thousands of state and local government officials throughout the country.
  - http://www.statearchivists.org/iper/index.htm
- Established a productive partnership between NARA regional staff and FEMA counterparts in every FEMA region to coordinate information sharing, training and response actions relating to public records.
  - http://www.fema.gov/about/regions/index.shtm
- Begun to establish a similar partnership with the 28 Federal Executive Boards across the country who are partnered with FEMA as an initial link for planning and communications before and following an emergency. http://www.feb.gov/

#### The 2008 Season - More Lessons.

Following two relatively quiet hurricane seasons, 2008 saw Hurricanes Gustav and Ike, along with substantial flooding in the Midwest, test how we have applied the lessons from 2005. We did better.

- Many fewer government records were lost;
- Agencies were more successful with timely access to vital records;
- Records that were damaged were more quickly stabilized and appropriate recovery techniques employed;
- Agencies were proactive in removing records from areas susceptible to flooding and water damage before the events struck.

In short, response has improved, but we still have more lessons to apply. Primary among them is building better communications partnerships and protocols so that NARA and agency records managers and custodians can assess what records are impacted following a disaster to more effectively plan a response specific to each situation.

The major lesson learned from 2008 is that we still don't have good mechanisms in place to know what the situation is "on the ground" in a timely manner. Even three and more months following the 2008 floods and hurricanes, we continue to receive "new" information on damaged records and requests for guidance on how to recover them.



Wet and mold-damaged card files in Orleans Parish damaged by Hurricane Katrina in 2005. *Photograph by Kathy Ludwig* 

#### NARA-SOUTHWEST REGION

NARA-FRC 1400 John Burgess Drive Fort Worth, Texas 76140



## Visit in person...

Directions: Archives and Records Management: (Note: Archives and

Records Management will be moving in Spring/Early Summer 2009)

The Fort Worth facility is about 5 miles south of downtown Fort Worth, near the intersection of I-20 and I-35W. From downtown Fort Worth take I-35W south and exit on Felix Street. Proceed west on Felix for half a mile, turn left into the Federal Center, and stop for security information. The security guard will give directions to Building One.

You will need a valid driver's license and proof of insurance to enter the Federal Center.



Map from Felix Street to John Burgess Drive

#### **Directions: New Federal Records Center:**

From downtown Fort Worth, take I-35W South to Exit #42 (Everman Parkway). Turn left onto Everman Parkway. Turn left onto Will Rogers Boulevard. Turn right onto John Burgess Drive. The new FRC building is at 1400 John Burgess Drive on the corner of Oak Grove.

### ...or visit online