

Date: March 17, 2009

Note to: File for Records Management Meetings [Related RM Events]  
Office of Finance, FRTIB

Subject: RM Event:  
*E-Discovery, Records & Information Management Conference and Expo*

Presented by: Digital Government Institute (DGI)

Date/Time: March 5, 2009: 7:30 a.m. to ~ 4:00 p.m.

Location: Ronald Reagan Building  
The Pavilion  
Washington, DC

Speakers: See attached Conference & Expo Guide and DGI Agenda

Moderator: Michael Smoyer, President, Digital Government Institute

*Summary:* A Conference of Presentations by Federal and Industry Speakers  
Relating to “E-Discovery, Records and Information Management”

The Digital Government Institute (DGI) hosted this one-day event to present and share information between federal agencies, in addition to providing an exposition of current state-of-the-art products available and perceived to meet the challenges of electronic records management (ERM). A review of the collaborated federal-industrial agenda (attached) shows how federal and industry organizations relate to, and share similar concerns in maintaining, protecting, and securing records.

Notes taken during the sessions <sup>1</sup> supplement the meeting materials and presentations distributed (included with File copy) regarding the critical issues raised during this event, e.g., by federal officials regarding addressing records management needs in the wake of electronic information escalation.

---

<sup>1</sup> Note: Although in attendance during the entire conference, it was not possible for me to hear all the speakers during some of the morning sessions (or see presentation slides – referenced and included with these notes for the FRTIB File) because of the very crowded and limited facility space.

This DGI-hosted conference had outstanding presentations. My comments given within these notes provide more detail on federal government speakers who identified vital issues for agencies. Suggestions are made for inviting some government officials to continue to present their solution-based recommendations for the benefit of many more federal agencies, e.g., at NARA’s next Annual Meeting at RACO, May 28, 2009.

*Summary Notes for Speakers' Presentations [following DGI Agenda]*<sup>2</sup>

7:30 – 8:30 a.m.: Registration, Welcome and Opening Remarks

Mr. Michael Smoyer, President, Digital Government Institute (DGI) opened this event and welcomed the participants. Mr. Smoyer thanked the attendees for their participation. DGI's conference program embodied well-informed speakers in the federal and private sectors and thus structured this event to expertly address E-Discovery and other critical records management (RM) issues.

By facilitating complimentary events such as the March 5 Conference and Expo, DGI has furthered federal-industrial interchange that continues to benefit the "government IT management community." Subsequent evaluations by federal employees report DGI's "excellent, helpful presentations" as having "concrete examples." In addition, DGI provides "valuable networking opportunities and exchange of information" at events, websites, and Knowledge Centers, e.g., website:

<http://www.digitalgovernment.com/Knowledge-Centers/E-Discovery.shtml>

As described in its conference materials, "for over 10 years, Digital Government Institute has provided leading-edge education programs on the most important topics facing government IT managers. As a trusted source for education, networking and results, DGI . . . connect communities . . . to meet the needs of those responsible for improving agency service and performance."

8:40 a.m. – 9:45 a.m.: Jason R. Baron, Director of Litigation, National Archives and Records Administration (NARA)

*Yes We Can: Meeting the Government's E-Discovery Challenges*

Jason R. Baron of NARA's Legal Counsel provided a 55-page legal/technical slide presentation, expanding on case issues in today's world of litigation impacted by electronic communications, e.g.:

**Key Challenges**

- . "Electronically-Stored Information" - ESI
- . "Intersection of Public Record Laws and E-Discovery"
- . "The Supreme Court on Record Retention"
- . "E-Recordkeeping in Government"
- . "Backup Tapes"

---

<sup>2</sup> Note: In following FRTIB procedures for meeting-notes-preparation where slide presentations are provided, my notes, comments, and suggestions are brief and/or summarize the sessions. The entire presentations are available on the DGI website, i.e., each of the sessions can be obtained via an E-Mail dated March 9, 2009, 1:09 p.m. from [kathy@digitalgovernment.com](mailto:kathy@digitalgovernment.com). An access link has been provided within the referenced e-mail, and excerpt of the same e-mail follows:

"As promised, you can access the session presentations online at:

<http://www.digitalgovernment.com/Downloads/E-Discovery-Records--Information-Management-Conference.shtml> "

Key Challenges (continued)

- . “H.R. 5811: EMPA” [Electronic Message Preservation Act]
- . “Electronic Archiving”
- . “Impact of Technology on E-Records Management”

Mr. Baron detailed the above challenges outlined within his presentation slides, which are directed toward government response to President Obama’s Memorandum dated 1/21/09 on “Transparency and Open Government” (see Slide No. 6).

On the issue of “E-Discovery,” Mr. Baron said that response to information remains “incredible” – but given records management conditions within agencies – there appears to be “very poor management and planning.” He questioned legal participants attending the conference whether they – as attorneys – have control of how employees handle materials for e-discovery records. Further, Mr. Baron stressed the critical need for sound management regarding “electronically stored information” (see Slide No. 8).

Slide No. 23, titled “The Intersection of the Public Record Laws and E-Discovery” is of particular significance as – while it refers to litigation failure as a result of poor and inadequate record-keeping – this fact holds true for every category of federal records. With the impact of electronic technology upon traditional records management, much needs to be done in meeting the challenges facing federal agencies. Mr. Baron was very specific about federal agencies following firm rules – particularly as they have been communicated in NARA’s Bulletins – e.g., in Slide No. 25, there are “Five Paths” for “E-Recordkeeping in Government” – and the first two address “Print to hardcopy,” and “Backup tapes.” Mr. Baron explained that there are conditions for agency to re-categorize backup tapes to meet the requirements emanating from legal holds on cases (see Slide No. 27).

With respect to emails – which are a form of electronic records (whether metadata, text, or attachments, etc.) – Mr. Baron likened the current problems to the *Achilles’ heel* of federal recordkeeping, e.g., as many pertinent emails are not being printed, categorized, and maintained. He said that NARA continues to struggle with recordkeeping practices which are even more impacted with the increasing electronic communications era (see, e.g., Slide No. 29 which shows the fractured organization by a tree and separate e-mail twig simile).

Further, Mr. Baron referenced NARA Bulletins (e.g., 2008-05), federal codes and schedules (36 CFR and GRS 24, item 24), laws and regulations (e.g., H.R. 5811: EMPA - see Slides 33 through 36), and documents pertinent to sound and safe electronic recordkeeping and electronic archiving, stating that “Records schedule simplification is *key*” (Slide No. 31). Mr. Baron called attention to remarks made by the Honorable Carolyn B. Maloney in July 2008:

“With the advent and proliferation of electronic communication, the time has come for us to improve the methods for preserving records. Gone are the days when correspondence was sent solely using paper. E-mail has become the primary method of communication, and it is imperative that we develop procedures to stay current with the evolving technologies.”

- The Hon. Carolyn B. Maloney, July 9, 2008, House Floor

Again, while this view is expressed in the legal world, Hon. Maloney’s statement applies across the board to all RM departments. Mr. Baron continued that there continues to be confusion about issues of

E-discovery and other areas where records are maintained – e.g., he said that some lawyers tell their agencies that all back up tapes have to be saved. Storage costs are staggering for maintaining records – and back up tapes – that should have been scheduled for archiving or destruction. Records management translates to using federal time and resources – which should be used correctly and wisely. With fractured, uncontrolled, and incorrect electronic recordkeeping, agencies are having problems with legal implications. Mr. Baron also addressed problems associated with compliance for records storage – which also has become a major problem for federal agencies who store active records off site.

On a positive note, Mr. Baron applauded the electronic preservation act (H.R. 5811) which he explained gives hope to electronic recordkeeping (see Slide Nos. 35 and 36).

Mr. Baron concluded his presentation by reviewing strategies for Records Managers and Attorneys to implement and follow, such as his “Top 10 Transformative Changes for E-Discovery Success” and “Overarching Smart E-Discovery Strategy” – which target all areas of electronic federal recordkeeping. For example, Mr. Baron spelled out the importance of metadata related to text in emails as well as interdisciplinary coalitions within agencies which are vital to success. Specifically, as shown in Slide 49, Mr. Baron was emphatic about the need for three languages to communicate effectively (Legal, Records Management, and Information Technology). Mr. Baron said that he has observed so often that IT people have trouble communicating with “carbon-based life forms” – and as a result, electronic recordkeeping is not being managed and preserved as it should be.

*Comment by V. Scott, Attendee from the FRTIB:*

This presentation by Legal Counsel Jason R. Baron was one of the most important to this conference. Mr. Baron is greatly distinguished in his knowledge and expertise within the records management community and its current problems with electronic recordkeeping. One of the key points that he reiterated throughout his presentation was that interface between agency groups is vital and necessary to the success of its RM programs. Coalitions enabling legal, RM, and IT staff meetings to identify problems and pitfalls, hold discussions and make plans are critical to the success of electronic records archiving and management for all federal agencies.

*Suggestion by V. Scott as a FIRM Council Member:*

In view of this outstanding presentation given by NARA Attorney Jason R. Baron – which identifies the number of problems within federal agencies today impacted by ERA and ERM technologies – it would be very beneficial to have Mr. Baron provide the same or similar presentation at the annual NARA meeting at RACO 2009.

9:45: a.m. – 10:15 a.m.: Kevin Donahue, Director of Business Development, ZyLAB

### ***What Does It Take to Bring E-Discovery In-House?***

With a 28-slide technical presentation, Kevin Donahue explained the “Risks, rewards and best practices” challenging federal agencies and how his organization can assist by its “information solutions.”

In Slide No. 2, Mr. Donahue presented seven “Attention points” – which enable sound and efficient coalitions between “legal and IT professionals” in addition to “identifying necessary tools” and “capitalizing on potential savings.”

Strategies were given (see Slide No. 3) which would implement “seamless connectivity between processes and information management systems, as well as legal and IT teams” while working within “a quality control framework” in “bringing e-discovery in-house” for federal agencies.

All 28 slides can be viewed via the access link given in footnote 2, page 2, above.

*Comment by V. Scott, Attendee from the FRTIB:*

This presentation by Kevin Donahue from ZyLAB – described as a “Leader in information access, e-discovery and records management” – would be most helpful for federal agencies who have sound and up-to-NARA-requirements RM programs at a ready level, i.e., to consider whether such “modular solutions for archiving, investigation, managing and sharing . . . information” would be applicable and/or needed in performing RM responsibilities.

10:45 a.m. – 11:30 a.m.: L. Reynolds, Lockheed Martin, and Jeanette Plante, Department of Justice

***Records as Government Assets: Addressing the Business Management Issues***

In this joint federal-industry presentation, Lockheed Martin and Department of Justice demonstrated how beneficial a partnership can be between government and industry. The co-presenters, L. Reynolds [Lockheed Martin] and Jeanette Plante [Department of Justice] combined 31 slides to explain the benefits of RIM (Records and Information Management) for E-discovery, which – as similar strategies – would bring success in other areas of federal records responsibilities. An “Electronic Discovery Reference Model” (see DOJ Slide No. 4) shows the process of information management as key to having “baseline knowledge for electronic discovery” (DOJ Slide No. 5).

Ms. Jeanette Plante, Director, Office of Records Management Policy, Department of Justice:

Of particular significance in this presentation is a chart prepared by the DOJ which categorizes the two groups: *Records management and Information Management*, listing the desired roles of each for RM program success. Jeanette Plante explained and reemphasized (by DOJ slide on “Partners in the RIM Program”) – it is vital that departmental groups within agencies work together to achieve success.

In her RM role at the Department of Justice, Ms. Plante emphasized the importance of RM staff seeing records in a different light with respect to the impact of both federal and technology current requirements, thus gaining integrated expertise for influencing what a records management program should be. Within the 11 slides she presented, which connect records management with information management tools, the functions and mission for records lifecycle can be successfully achieved.

Ms. Plante continued that records are “real assets of agency” and should be managed accordingly. Legal, e-discovery materials should not be regarded as “isolated” as focus is on “content.” Important aspects of the right intellectual knowledge in managing electronic records include:

- . Information holdings, storage, and control
- . Protection and retention period
- . When and how records are to be destroyed.

Disposition challenges such as keeping back up tapes for decades have led to costly and problematic “storage landfills” – which eventually will have to be reviewed and resolved.

Ms. Plante concluded by emphasizing the need for federal agencies to regard information management as a discipline that calls for developing tools for cataloguing, controlling, maintaining, and protecting all federal records [scheduled, unscheduled, vital-COOP, and permanent]. She stressed that federal officials need to recognize the challenges facing RM today, and implement “modern records programs” – i.e., by partnership in RIM programs.

L. Reynolds Cahoon, Lockheed Martin Corporation

Mr. Cahoon focused on “Records as Government Assets: The Organization Dynamics” offering sound advice for developing successful RM programs, e.g., by forming “coalitions” to ensure realized goals. In likening RM problems to an iceberg that people perceive differently, he said intellectual teams working together lead to understanding and solutions. Significant points made in his presentation included:

- . Email maintenance in agencies, e.g., size and local storage;
- . Complexity of information stored and procedures involved;
- . Long term costs and capital planning;
- . Dynamics of team work bring success instead of disorganization and RM failures;
- . Coalitions translate to sound policy decisions and cost-effective ERM.

Mr. Cahoon reemphasized that federal agency departments need to work together – and asked “what does your agency’s ecosystem look like?” He said the well being of organizational culture is vital to success and that a greater level of stewardship should be required. Positive, effective dialogue should be ongoing between agency officials in executive management, IT, Legal, and RM. He echoed Jeanette Plante’s words that “real business problems can be solved with RIM.” By creating federal-requirement-based program models through wise policies developed by agency coalitions that interrelate and are accountable, success can be achieved in electronic records management.

*Comment by V. Scott, Attendee from the FRTIB:*

This presentation by these federal-industrial partners demonstrates how well these separate entities can work together to solve major RM problems. The theme of this combined presentation echoes the earlier one by Jason Baron, i.e., federal coalitions enabling Legal, RM, and IT staff meetings to identify problems and pitfalls, hold discussions and make plans are critical to the success of electronic records management and archiving for all federal agencies.

*Suggestion by V. Scott as a FIRM Council Member:*

This joint presentation would serve as an excellent example to show how federal government and industry are already working together in the RM community. While important that the federal agency has understanding of what is needed within its RM program before being able to use a new, state-of-the-art technology applicable to the function, one of the critical points made by Ms. Plante and Mr. Cahoon refers back to *coalitions* where people work together. Therefore, this presentation is also highly recommended for RM programs in the current federal community, i.e., such as the annual NARA meeting at RACO 2009.

11:30 a.m. – 12:00 p.m.: Galina Datskovsky, Sr. VP and General Manager, CA, Inc.

***Now Rather Than Later: Being Prepared for the Flood of FOIA and Discovery Requests***

Presentation slides for these FOIA and E-Discovery-based issues [provided to conference attendees – see page 2 of notes where website link is contained within footnote] delineate vital concerns within the economic and political environment, such as “inadequate records management” – reported by “92 percent of attorneys” who were surveyed. CA is offering technological assistance in areas of FOIA and E-discovery as they caution “a unified, proactive approach to discovery and records management no longer appears to be an option, but a critical element of unimpeachable corporate governance.”

*Comment by V. Scott, Attendee from the FRTIB:*

This presentation by the General Manager of CA is an excellent source of information for the specific legal areas of FOIA and E-Discovery. As CA offers technological assistance in these legal areas, this comment follows my earlier one regarding ZyLAB – i.e., this information and guidance would be most helpful for federal agencies who are in the RM ready-mode to apply such technological solutions to the challenges and problems faced in these ongoing and sensitive litigation issues.

1:00 p.m. – 1:40 p.m.: The Honorable John Facciola, United States District Court, Washington, DC

***Afternoon Keynote: A Legal Viewpoint on E-Discovery and Records Management Today***

Honorable Facciola did not have a Power Point presentation but advised that what he had to offer followed Jason Baron’s presentation [regarding the points made on e-discovery – its challenges and problems]. He reiterated that conference presentations were available on the Digital Government Institute website (see page 2 of notes where website link is contained within the footnote).

After explaining how the infusion of electronic records and technology has changed his life, the Honorable Facciola discussed the impact of this miraculous evolving information technology – which brings consequences as well as benefits. For example, he spoke of the consequences of large storage systems, explaining that what drives information is storage capacity, involving:

The federal agency, and  
What records the federal agency must keep.

He continued that many agencies do not have RM programs and as a result do not know what they should keep or discard. He asked if attendees examine the departments within their agencies to see what is being kept and done in records management. These records, he advised, are subject to preservation and government rules.

Important points made during his presentation stressed that federal agencies work to:

- . Develop and implement much-needed or updated RM programs.
- . Meet RM challenges involving litigation holds and other legal issues.
- . Understand what is needed for RM before seeking vendor-recommended solutions.
- . Implement team work dynamics instead of allowing disorganization and RM failures.

- . Coalitions – these are key to working together for success.
- . Traditional rules no longer work in a digital world.
- . Learn to evaluate the agency's records and follow proven methodologies [such as NARA's guidelines for Records Management].
- . Learn the rules and regulations as they actually are, e.g., Rule 45 speaks of a subpoena served on a person but it can also apply to an agency.
- . Avoid two greatest errors: under-promising and over-promising.
- . Electronic discovery is here to stay and federal agencies must be competent in meeting the demands of this new technology – which can be successfully done by sound records management.

1:40 p.m. – 2:10 p.m. : Deborah Baron, Autonomy and Harley Methfessel, Department of Education

***Understanding Search and Retrieval for Effective E-Discovery Results***

In this given federal-industry presentation, Autonomy, Inc., and the Office of General Counsel at the Department of Education Justice demonstrated how federal agencies and industry can work together to effectuate processes that work in meeting information overload. In following the joint presentation made earlier by Lockheed Martin and Department of Justice, a similar model entitled, "EDRM: People, Process & Technology" structure the flow of processes within functions of preparation, collection, review and production (see Autonomy, Inc.'s slide No. 8). These processes would serve to support federal missions, such as delineated within the Mission Statement of the Department of Education (see slide No. 11, OGC-IT).

Most of this presentation was an interchange between Deborah Baron and Harley Methfessel to identify legal processes such as FOIA and e-discovery which entail electronic search strategies to meet case requirements. Understanding search and retrieval in computer networks requires integrated teams, e.g., IT working with Legal and RM personnel to ensure all components of the legal functions are handled effectively, efficiently and securely. As the Department of Education Slide No. 12 shows,

Key Programs are formed by such components as:

- . Learn (Legal Electronic and Records Node, and Policies and Procedures)
- . Education (Utility for Communications, Applications and Technology Environment)
- . Litigation Support (Case types and BB&T), and
- . Miscellaneous (Program Records Official, Security, Privacy, Compliance).

*Comment by V. Scott, Attendee from the FRTIB:*

This presentation by the Legal & Compliance VP of Autonomy, Inc., and Senior Counsel for Information and Technology is another excellent source of technology instrumentation for specific legal areas of FOIA and E-Discovery. As Autonomy, Inc. and the Department of Education have joined methodologies, e.g., the EDRM [Electronic Discovery Reference Model] which even has a website, i.e., [www.edrm.net](http://www.edrm.net), this joint endeavor could also provide information and guidance for federal agencies who are in the RM ready-mode to apply such technological solutions to the challenges and problems faced in these ongoing and sensitive litigation issues.

2:10 p.m. to 2:45 p.m.: Michael C. Daconta, AIM (Accelerated Information Management)

***The Impact of Technologies on E-Discovery, Records & Information Management***

In following a 17-page slide presentation, Michael Daconta, Chief Technology Officer of AIM, explained how “e-discovery is handled in the private sector” and the benefits of automation to aid in meeting the challenges of this legal function. This highly-technical presentation given by this author of 11 technical books, providing insights from his experience as a DHS Metadata Program Manager and chief architect for DIA’s Virtual Knowledge Base, showed conference attendees that expert counsel is available to federal agencies ready to “evaluate e-discovery options that balance compliance” with the belief that retention of everything is still required.

2:45 p.m. – 3:10 p.m.: Rebecca Fitzgerald, Nuclear Regulatory Commission

***How to Get Started with E-Discovery: Keys to Effective Programs***

As a Records Management Analyst for the Nuclear Regulatory Commission’s Office of Information Services, Rebecca Fitzgerald described how their agency is implementing programs to manage E-discovery RM. Ms. Fitzgerald also reviewed with attendees a 1-page bibliography of “E-Discovery Resources” which provide models and guiding information for federal agencies needing assistance.

*Comment by V. Scott, Attendee from the FRTIB:*

This technical presentation specifically addressed techniques and resources to help agencies review and implement what would be required for their goals in updating traditional systems. Understanding of the function of legal “discovery” and how records management impacts this legal function is necessary however, before electronic discovery methods can be put into place.

*Suggestion by V. Scott as a FIRM Council Member:*

Ms. Fitzgerald’s presentation would serve as another excellent example to show how federal government and industry are already working together in RM community. While important that agencies have understanding of E-discovery from RM standpoint, Ms. Fitzgerald could provide E-discovery insight for agencies by providing details of the RM program the Nuclear Regulatory Commission has implemented. Therefore, this presentation is also highly recommended for RM programs in the current federal community, i.e., such as the annual NARA meeting at RACO 2009.

3:10 p.m. to 3:25 p.m.: Edwin J. McCeney, Department of the Interior

***Rethinking Records and Information Management (RIM): Toward a Maturity Model Approach***

**“We try to apply technology before we are ready.” - Edwin J. McCeney**

In a well-defined, clear technological view of RM functioning within an electronic project environment, Edwin McCeney spelled out in an 8-page slide presentation how a “Records Management Capability Maturity Model” (RM-CMM) is the right strategy for improvement the “enterprise” of RM. Mr. McCeney, Departmental Records Manager for the Department of the Interior, offered a 5-level Model which defines “Records Management Maturity Levels” – levels that incorporate basic, fundamental, and federal-regulatory requirements for RM functions migrating to electronic technology for expertise and means to successful integration with areas of agency management and IT, as well as program offices that generate “business records.”

Within slide No. 6, Mr. McCeney delineates the 10 factors for the Capability Maturity Model (CMM):

1. Recordkeeping behavior (overall understanding at all levels).
2. RM Policies and Procedures (organizational level)
3. Record Format (media)
4. Records Inventory (description)
5. Records Schedules (legal management)
6. Records Retirement (non-active, storage)
7. Records Disposition, Location and Retrieval (product management)
8. Vital Records (emergency preparedness)
9. RM Training
10. Management and Culture (importance to organizational management)

As Mr. McCeney was only allotted a very brief time to give his presentation (~ 15 minutes), he concluded by showing Slides 7 and 8 – a sample view of an evaluation chart for RM which lead to successful Project and Records Management Integration.

Some of the key, critical points that Mr. McCeney made were the following:

- . The CMM is a good example of how RM functions build on each other.
- . Most organizations are in chaos and face many challenges with RM.
- . Federal agencies are trying to apply technology before being ready.
- . Electronic business for RM can be successfully built when federal agencies have completed the basic work (e.g., Level 2 ensures records are captured).
- . If management is not on the side of RM staff, it will be difficult to bring RM programs to the necessary levels for success.
- . Records Management Officers may not be properly trained.
- . RM training – initial, refresher courses, and ongoing training should be mandatory in federal agencies.

*Comment by V. Scott, Attendee from the FRTIB:*

This presentation by Edwin J. McCeney was one of the most critical, vital, and necessary for the health and well being of RM in federal agencies. The RM-CMM Chart provided by Mr. McCeney can guide agencies to evaluate their progress from Level 1 to Level 5 with respect to the 10 factors leading to RM process improvement. These factors address every facet of RM and, together with the level milestones chart would serve as a most practical, realistic instrument, and measuring device to assist every federal agency in updating their RM programs to meet the challenges of a rapidly-growing high-technology electronic future. For example, in No. 4 – Records Inventory, federal agencies should follow NARA's guidebook to evaluate (and re-evaluate) current materials for scheduling and disposition of records.

*Suggestion by V. Scott as a FIRM Council Member:*

In view of this outstanding presentation given by Records Manager Edwin McCeney – which identifies the number of problems within federal agencies today impacted by ERA and ERM technologies – it would be most beneficial to have Mr. McCeney provide the same or similar presentation at the annual NARA meeting at RACO 2009 and other records management symposia. Mr. McCeney's "Capability Maturity Model" strategy to improve the function of records management within federal agencies is well planned by clear definitions within each of the five levels (slide No. 4), i.e., identifies what procedures, policies, functions should be in place at each of the levels. The CMM is clearly a helpful,

guidance tool with structured measurement to aid federal agencies in achieving success by progressing from present levels (evaluated by the level definitions), to the most desired for RM, i.e., Level 5. Further, in reaching the 4<sup>th</sup> and 5<sup>th</sup> levels of the CMM, federal agencies would advance to “ready” modes to use applicable technologies presented by vendors who have products available to simplify the RM processes [e.g., as demonstrated at the vendor exhibits at the DGI Conference and Expo].

3:25 p.m. to 3:45 p.m.: Catherine Teti, Government Accountability Office

***How to Get Started with E-Discovery: Keys to Effective Programs  
GAO’s E-Records Program: Lessons Learned***

As the Managing Director of Knowledge Services at the General Accountability Office, with many years of experience in records management, Catherine Teti concluded the conference with a most-informative presentation (with 7 slides) describing the GAO’s “Lessons Learned: Communication, Education, and Outreach” procedures – in ensuring their effective, efficient, and up-to-date current Electronic Records Management program.

Ms. Teti was very specific in giving “key” elements for a “sound records management program,” i.e. as outlined in slide 2, e.g.:

- . Simplified retention schedules
- . ERMS
- . Quarterly shreds of records eligible for destruction
- . Records Liaison Officers in each unit
- . Training and support to staff from GAO’s records managers.

The GAO’s “lessons learned” given in slide No. 5 should be well heeded by other agencies to avoid pitfalls in the transition to effective, efficient, and sound RM programs. Ms. Teti answered questions from attendees (my questions about whether they could give demos of their electronic RM system) and was most gracious in saying that GAO would be pleased to share the Electronic Records Management System (ERMS) that they have in place – which took five years of planning and dedicated work – for any federal agency who is interested. She invited attendees to visit their agency for a demonstration of the ERMS.

*Comment by V. Scott, Attendee from the FRTIB:*

This much-needed, technical presentation specifically addressed techniques and resources to help agencies review and implement what would be required to reach goals in updating outdated systems to ERMS. It would also be very useful if RM staff could visit the GAO for a demonstration of their progress in implementing their ERMS – and, as GAO is willing to share this information, it would be advantageous for FRTIB to gain knowledge in this tested system now being used.

*Suggestion by V. Scott as a FIRM Council Member:*

Ms. Teti’s presentation, and perhaps a brief demonstration, would be another excellent example to show how federal government and industry are already working together in RM community. While important that agencies have understanding of E-discovery and other RM functions, Ms. Teti could provide expertise to agencies searching for guidance. Therefore, this presentation is also highly recommended for RM symposia such as annual NARA meetings at RACO and other programs in the federal community.

*Concluding comments by Vivian A. Scott, in attendance for FRTIB, and FIRM Council:*

In view of the outstanding presentations given by both federal agency officials and private industry – working together to meet the challenges of electronic records management – my notes include recommendations of federal government speakers to continue providing their valuable information (e.g., developing and implementation of electronic RM systems and programs that address current RM challenges and issues) to all federal agencies:

- . Jason R. Baron, Director of Litigation, National Archives and Records Administration (NARA)
- . Jeanette Plante, Director, Office of Records Management Policy, Department of Justice  
and
- . L. Reynolds Cahoon, Lockheed Martin Corporation
- . Rebecca Fitzgerald, Records Management Analyst, Nuclear Regulatory Commission
- . Edwin J. McCeney, Departmental Records Manager, Department of the Interior
- . Catherine Teti, Managing Director of Knowledge Services, Government Accountability Office

Prepared by: Vivian A. Scott, FRTIB, March 17, 2009

Attachments (to File Copy only):

DGI Conference and Exp Materials (printouts of presentations)