

MINUTES
RECORDS MANAGEMENT INTERAGENCY COORDINATING COUNCIL
MEETING
March 4, 2010

The Records Management Interagency Coordinating Council (RMICC or Council) held a meeting on Thursday, March 4, 2010 at the Capitol Extension in Room E1.010.

MEMBERS PRESENT

Cathy Hartman, Interim Chair
Doug Holt, Member
Julie Leung, Member
Hope Morgan, Member
Eddie Morrison (representing Simon Skedd), Member
Dan Procter, Member
Stephen Quick, Member
Kim Scofield, Member

MEMBERS NOT PRESENT

Peggy D. Rudd, Member

GUESTS

Laurie Baker, Cancer Prevention and Research Institute of Texas
Laura Bucaro, Texas Commission on Fire Protection
Mary Lou Carpenter, University of Texas System Administration
Darla Fent, Texas Higher Education Coordinating Board
Jan Ferrari, Texas State Library and Archives Commission
Chris Foster, University of North Texas
Mary Rose Hightower-Coyle, University of Texas at Austin
Piper LeMoine, Texas State Library and Archives Commission
Tim Nolan, Texas Water Development Board
Angela Ossar, Texas State Library and Archives Commission
Nanette Pfiester, Texas State Library and Archives Commission
Roy Philips, Railroad Commission of Texas
P.D. Redman, Texas County and District Retirement System
Susan Rhyne, Railroad Commission of Texas
Martha Richardson, Department of Information Resources
Tiffany Shropshire, Supreme Court of Texas
Liz Smith, Employees Retirement System of Texas

I. CALL TO ORDER

A quorum being present, Interim Chair Cathy Hartman called the meeting to order at 10:04 a.m.

II. WELCOME

Upon convening the meeting, the Chair then welcomed all persons in attendance at this meeting.

III. INTRODUCTION OF MEMBERS

The Chair called for the introduction of RMICC members. As shown above, the record of the meeting reflects that Ms. Peggy D. Rudd and Mr. Simon Skedd were not present at this meeting. The record of the meeting further reflects that Mr. Eddie Morrison was on hand to represent Mr. Skedd in his absence.

IV. APPROVAL OF THE DECEMBER 3, 2009 MINUTES

Minutes to the RMICC meeting held December 3, 2009 were approved as follows:

MOTION made by Ms. Hope Morgan, seconded by Mr. Dan Procter, and carried unanimously to approve the minutes of the meeting of the Records Management Interagency Coordinating Council held December 3, 2009, as presented.

V. RMICC CHARTER – DISCUSSION AND VOTE

Ms. Jan Ferrari of the Texas State Library and Archives Commission gave a brief update regarding changes to the RMICC charter.

- Ms. Ferrari reiterated that the purpose of the charter is to provide greater guidelines for RMICC and greater authority as well.
- Mr. Dan Procter, Ms. Kim Scofield, and Ms. Cathy Hartman along with Ms. Ferrari comprised the RMICC committee tasked with developing the charter.
- After discussion at the December RMICC meeting, Ms. Ferrari revised the draft charter as follows:
 - Two points that discussed the vice-chair were moved from under “RMICC web site” to under “Roles and Responsibilities”
 - The “Definitions” section was updated to include the rule
- Ms. Ferrari noted that one of the points regarding the vice-chair referenced the role of the host agency. Ms. Ferrari wondered if the Council wanted to discuss the point, but added that discussion should be postponed due to the absence of Ms. Peggy Rudd.

- Ms. Ferrari asked the Council if they would like to vote on the draft charter or if there was discussion or further changes needed to the draft.
- Ms. Julie Leung noted several typographical changes that needed to be made:
 - Under “Statutory Responsibilities”, a semicolon needed to be added after the first instance of the word “records” in the first paragraph. Ms. Ferrari indicated the change had been made in the most recent draft of the charter.
 - Under “Committees” on page 5, the word “council” should be capitalized in the first six bullet points. Ms. Ferrari noted that the word “council” in the second set of bullet points should not be capitalized. Ms. Hartman disagreed with Ms. Ferrari’s suggestion. Mr. Procter indicated that the style is to always capitalize the word “Council”.
 - Ms. Leung noted on page 6 under “Definitions” the reference to “Title 19” should be changed to “Title 13”.
- Ms. Hope Morgan noted that under “Authority”, the charter states that state agencies are required to cooperate with the Council in the performance of its duties. However, the charter does not indicate what happens if an agency does not cooperate with the Council. Ms. Morgan wondered if the Council should address noncompliance in the charter, and added that agencies may not know they are required to cooperate with the Council. She stressed the role of the Council to work with agencies to foster cooperation.
 - Mr. Procter asked if Ms. Morgan was referring to the Council’s member agencies only or to all state agencies. Ms. Morgan indicated she was referring to all state agencies.
 - Ms. Morgan noted that a state agency’s records management policies could be found to be noncompliant due to an audit. She noted in that situation, the Council’s role should be to work with the noncompliant agency to create a corrective action plan to bring the agency into compliance and foster communication between the Council and the agency.
 - Ms. Ferrari indicated she thought a better response to agency noncompliance should be crafted as part of the charter.
 - Mr. Procter noted that he did not believe the Council had enforcement authority for the statute, but better communication between the Council and state agencies should be fostered. The Council should be available to assist agencies, but has no authority to tell the agencies what they must do to be compliant. He noted that the Council does have rulemaking authority.
 - Ms. Ferrari indicated the Texas State Library does have some authority to force agency compliance. She added that she believed a statement should be included in the charter offering Council assistance to agencies.
 - Ms. Hartman noted that the word used in the charter is “cooperate”, not “compliance”. She noted that the Texas State Library is the agency tasked with compliance, not the Council, but added that language could be added to the charter if other members felt it was needed.

- Mr. Procter asked Ms. Morgan if she had any suggested language to be included in the charter concerning agency cooperation. She indicated she felt the charter should indicate the Council's willingness to work with agencies to achieve cooperation, especially noncompliant agencies working on a corrective action plan. The Council could provide insight and services to agencies with corrective action plans for records management compliance. Ms. Morgan wondered if this kind of assistance might be more the responsibility of the Texas State Library, however. Ms. Ferrari indicated she thought the Council should consider the changes Ms. Morgan proposed.
- Ms. Hartman noted that the charter is designed so that changes may be made to it at any time. She indicated the items discussed at today's meeting should be considered and could be acted on at a later meeting.
- Mr. Procter wanted to discuss the hosting of the RMICC website, but noted that the discussion should include Ms. Rudd, who was absent from the meeting.
 - Mr. Procter noted that the Texas State Library has hosted the RMICC website, but the charter adds more work for the website host. The Texas State Library might not want to continue hosting the website with the increased workload. Mr. Procter noted that the charter currently indicates the website should be hosted by "the agency of a permanent member" and he believed that language should not be changed to indicate a specific agency such as the Texas State Library. He noted as well that the Council does not have the Texas State Library's permission to specifically name the Texas State Library in the charter as the host of the Council's website.
 - Ms. Scofield noted that if no specific host agency is named in the charter, the charter would not need to be changed if the host agency changed. If the host agency changed, the change would be noted in the minutes of the Council meeting where the change was approved.
 - Ms. Scofield asked Ms. Ferrari if the Texas State Library had experienced any difficulties with hosting the Council website. Ms. Ferrari indicated there had not been any difficulties to date. One of Ms. Ferrari's staff is responsible for maintaining and updating the Council website. Ms. Hartman noted the website is visually appealing and easy to use, and indicated the Council's satisfaction with the Texas State Library's efforts.
- Ms. Leung noted that every section of the charter except "Charter Maintenance" is included under "Purpose". Ms. Ferrari indicated that "Charter Maintenance" should be included under "Purpose".

MOTION made by Mr. Doug Holt, seconded by Ms. Kim Scofield, and carried unanimously to approve the draft charter with the changes as discussed.

VI. PROGRESS UPDATE FROM THE BEST PRACTICES COMMITTEE

Ms. Martha Richardson of the Department of Information Resources (DIR) presented an update from the Best Practices Committee.

- Currently, DIR's staff is compiling the responses received from the DIR Information Resources Deployment Review (IRDR) and the data management annex that was included with the IRDR.
 - Preliminary analysis of the responses received has been interesting. Ms. Richardson noted that the question she was most interested in dealt with when agencies first consider data and information retention and purging requirements when developing information management plans. Only about 27% of agencies surveyed said that information retention and purging was not considered when developing information management plans.
 - About 60% of the agencies surveyed indicated they have a committee that meets to manage information technology. Of those agencies with such a committee, about 68% include records managers as part of the committee.
 - One IRDR question asked if routine archiving and purging of records that have met retention guidelines was included in the agency's information technology plans. About 18% of agencies surveyed indicated routine archiving and purging of records was in place for all of their systems. An additional 55% noted it was in place for some of their systems. About 25% noted that routine archiving and purging of records was not in place for any of their systems. For those agencies with routine archiving purging in place, about 53% noted archiving or purging of records was triggered by their records retention schedule. About 11% indicated records were archived when database operations slowed down. About 64% of agencies surveyed said archiving and purging of records is routinely coordinated with records management staff.
 - Ms. Richardson said she is encouraged by her preliminary review of the responses to the IRDR. Since 2000, DIR and TSLAC have been attempting to educate agencies regarding records management through the e-records conferences, and it appears DIR's those efforts are paying off.
 - DIR expects to have the survey responses compiled by the end of March. At that time, the Best Practices Committee will analyze the data and see if there are recommendations that the Council needs to make based on the data.
 - Mr. Stephen Quick asked how many surveys were sent out and how many responses had been received. Ms. Richardson noted that the IRDR is a mandatory report for all state agencies and

universities. Not all survey respondents answered every question, but the responses have been mostly complete.

- For the Electronic Records Management Extension for the Texas Project Delivery Framework, DIR staff is developing a guideline for agencies to use when writing an extension. Ms. Richardson noted that DIR plans to have the ERM extension published over the summer.
- For the Best Practices for Digitization, discussion had been held during previous Council meetings regarding a survey similar to the IRDR. This survey would be sent to records management personnel rather than information technology personnel, possibly by the Texas State Library. Ms. Richardson indicated this project is currently on hold while DIR analyzes the responses to the IRDR unless another committee member wants to take up the project.
- Ms. Richardson noted that at a previous Council meeting, Ms. Ginger Salone reminded the Council that the Best Practices committee originally was created in response to recommendations from the House of Representatives' Government Reform Committee. In response to those recommendations, Ms. Salone was interested in pursuing a project to write a "buying guide" for agencies to use when purchasing software during natural cycle upgrades. Ms. Richardson indicated that DIR anticipates this project should be completed by the middle of May.
- Ms. Richardson asked for Council approval of the project deadlines indicated in her report, and asked the Council if there were questions regarding her report.
 - Ms. Hope Morgan indicated her interest in the survey results from the data management annex to the IRDR, and asked that these results be distributed to the Council. Ms. Morgan also asked that the Council receive the information from the "buying guide" project for review.
 - Ms. Morgan asked what specific deadline dates Ms. Richardson wanted Council approval. Ms. Richardson indicated the dates included in her report had changed from previous deadlines due to workload pressures at DIR. Ms. Hartman indicated the dates were included in the "change request" portions of Ms. Richardson's report. Ms. Richardson indicated the deadline dates should allow the committee to provide the Council with the information necessary to make the Council's biennial legislative report.

MOTION made by Mr. Dan Procter, seconded by Ms. Hope Morgan, and carried unanimously to approve the changes to deadline dates included in the Best Practices Committee report, as presented.

VII. UNIVERSITIES RECORDS MANAGEMENT

Mr. Chris Foster of the University of North Texas presented information about university records management.

- Mr. Foster is the records manager for the University of North Texas and the University of North Texas System Administration offices. He appeared before the Council to seek approval to create a task force that would study the needs of records managers in higher education institutions.
 - The task force would study information such as the current records management organizational structure in Texas higher education institutions, how records management information is disseminated higher education employees, and the satisfaction level of records management personnel in higher education institutions.
 - The task force would consist of Ms. Jan Ferrari, Mr. Foster, and other interested records management professionals around the state.
 - The task force would develop best practices and a model records management program for higher education institutions. The model program would be used as a resource for universities to develop new records management programs or benchmark existing programs.
 - The task force would survey university records managers, develop the model records management program, and strengthen communication and enhance collaboration among records managers across the state.
 - The task force would partner with state and local records management and the Texas State Library. This partnership would allow the task force to complement the Texas State Library's goals for records management.
- Ms. Julie Leung asked if the model records management program would apply to public universities only. Mr. Foster indicated that the model would be designed for public universities but could be used in any university setting.
- Mr. Doug Holt indicated there could be some overlap with information received from the IRDR and any survey of university records managers by the task force. Mr. Foster noted that university records managers share many of the same concerns regarding records management that Ms. Martha Richardson noted in the IRDR information.
- The overall goal of the task force is to develop a comprehensive model for a university to use to develop a records management plan that is both effective and compliant.

- Ms. Hope Morgan inquired about the timeframe for completing the study and creating a model records management program. Mr. Foster indicated about 12 to 18 month is the expected timeline.

MOTION made by Mr. Dan Procter, seconded by Ms. Hope Morgan, and carried unanimously that the university task force be created.

- Ms. Cathy Hartman appointed Ms. Jan Ferrari as chair of the task force subject to Ms. Peggy Rudd's approval, and Mr. Foster as co-chair. Ms. Hartman asked the task force to present timeline and scope of work information at the next Council meeting.

VIII. RMICC OFFICERS AND INTERIM CHAIR

Mr. Dan Procter presented information about the Council's current situation regarding officers and the interim chair

- Ms. Cathy Hartman currently is serving as interim chair of the Council. Ms. Hartman is not eligible to be chair of the Council as she is an auxiliary member of the Council. She was elected as vice-chair but is filling the remainder of the term as chair for Brian Rawson, who resigned as chair.
- Mr. Procter asked if Ms. Hartman should continue serving as interim chair, or should the Council open nominations to elect a new chair to fill out the remainder of the term. The new term for Council officers begins February 1, 2011. Mr. Procter noted that the Council's biennial legislative report is due November 1, 2010.
- Mr. Procter noted that the Council did not anticipate an interim chair serving for more than a brief absence of the chair. Ms. Hartman will serve as interim chair for approximately half a term if she remains as interim chair until the next regular election.
- Mr. Procter asked the Council to vote on keeping Ms. Hartman as interim chair for the remainder of the term, as long as she was willing to do so, or to open nominations to elect a new chair to fill the unexpired term.
- Ms. Hartman indicated she was comfortable serving out the remainder of the term if that was the Council's will.
- Ms. Kim Scofield and Ms. Hope Morgan expressed their appreciation for Ms. Hartman's willingness to serve as interim chair as well as the sense of continuity she brought to the Council by doing so.
- Mr. Procter indicated that he knew of only one other member who had indicated a willingness to serve as interim chair at the present time.

MOTION made by Ms. Kim Scofield, seconded by Ms. Hope Morgan, and carried unanimously that Ms. Cathy Hartman continue as interim chair of the Council until the next regular election.

- Ms. Hartman noted that a member of the Council who is eligible will have to run for election as chair in December. Since Ms. Hartman is serving as interim chair, there is no current vice-chair of the Council. In the event that Ms. Hartman were unable to attend a Council meeting, another member would have to volunteer to act as chair for that meeting.

IX. OTHER BUSINESS

- Mr. Dan Procter noted that Council members should be considering the upcoming election of officers and if they would be willing to serve as an officer.
- Mr. Procter noted the Council's biennial legislative report is due this year. Ms. Cathy Hartman charged all the Council members with thinking about what needs to be included in the report. At the June Council meeting, Ms. Hartman would like to discuss the report so it may be drafted by early September. She noted that some of the information for the report may arise from the information gathered by the Best Practices Committee. Ms. Hartman noted that the previous report was included on the Council website.

X. PUBLIC COMMENT

No public comment.

In the absence of any further business, the meeting stood adjourned at 11:03 a.m.



CATHY HARTMAN, INTERIM CHAIR
Records Management Interagency Coordinating Council Meeting