

MINUTES
RECORDS MANAGEMENT INTERAGENCY COORDINATING COUNCIL
MEETING
March 6, 2012

The Records Management Interagency Coordinating Council (RMICC or Council) held a meeting on Tuesday, March 6, 2012 at the Lorenzo de Zavala State Archives and Library Building, 1201 Brazos Street.

MEMBERS PRESENT

Cathy Nelson Hartman, Member
Julie Leung, Member
Dan Procter, Member
Stephen Quick, Member
Peggy D. Rudd, Member
Kim Scofield, Member

MEMBERS NOT PRESENT

Thomas Johnson, Member
Hope Morgan, Member
Simon Skedd, Member

GUESTS

Erinn Barefield, Texas State Library and Archives Commission
Jan Ferrari, Texas State Library and Archives Commission
Chris Foster, University of North Texas System
Maryrose Hightower-Coyle, The University of Texas - Austin
Sarah Jacobson, Texas State Library and Archives Commission
Dan McGowan, Texas Department of Family and Protective Services
Angela Ossar, Texas State Library and Archives Commission
Nanette Pfiester, Texas State Library and Archives Commission
T.J. Wasden, Texas Department of Family and Protective Services
Steve Woodall, The University of North Texas Health Science Center

I. CALL TO ORDER

A quorum being present, Ms. Peggy D. Rudd called the meeting to order at 10:32 a.m.

II. APPROVAL OF THE DECEMBER 6, 2011 MINUTES

Minutes to the Council meeting held December 6, 2011, were approved as follows:

MOTION made by Mr. Dan Procter, seconded by Ms. Cathy Nelson Hartman, and carried unanimously to approve the minutes of the meeting of the Records Management Interagency Coordinating Council held December 6, 2011, as presented.

III. AGENDA ITEM 2 – REPORT FROM THE BEST PRACTICES COMMITTEE AND APPROVAL OF THE BPS SURVEY AND LETTER TO RMOS SEEKING ADDITIONAL VOLUNTEERS FOR BPC AND URMIC

- Ms. Jan Ferrari and Mr. T.J. Wasden presented the report from the Best Practices Committee. The committee meets bimonthly to assess issues, trends and needs in the management of digital information; specifically e-mail, e-records and social media.
- The three working groups of the committee (E-Records Management, E-Mail Management and Social Media Management) are in the process of researching and writing in-depth reports that will comprise the committee's contribution to the Council's report to the Texas Legislature. The working groups meet once a month and provide progress reports at the committee's meetings.
- The committee's survey for statewide records managers is complete and ready for Council members to review, Ms. Ferrari noted. The survey will be released around March 12, with responses due by April 13 with results expected to be presented to the Council at its June 12th meeting.
- Ms. Ferrari noted that a survey method will be selected—most likely Qualtrix or Survey Monkey. She indicated a volunteer is needed to help gather and analyze the survey responses.
- At the December 6, 2011 Council meeting, the Council asked the committee to work at expanding the committee's membership to include specialists in archiving, digital preservation and technology. Additionally, the Council asked the committee to draft a call from the Council for additional membership. Ms. Ferrari noted that Ms. Margaret Hermesmeier has joined the committee since the December Council meeting. Ms. Hermesmeier is the deputy records management officer at the Office of the Attorney General. Additionally, Ms. Hermesmeier is working with ARMA on a study concerning electronic records.
- The committee is finalizing the letter asking for additional membership with the special skills needed, Ms. Ferrari said. The letter will be sent to state agencies as official Council correspondence, and will be presented to the Council for approval in the near future.
- Ms. Peggy D. Rudd noted that she and Ms. Kim Scofield had both reviewed the letter. Ms. Rudd noted she had focused on the letter from the

perspective of an agency head. With 25 members on one subcommittee and 19 on another, many agency heads might wonder why more membership was needed, she said. The letter needs to focus on the need for specialists rather than just increased membership. Ms. Rudd suggested this need for specialists be made more prominent in the letter to encourage agency heads to respond.

- Mr. Wasden asked for clarification about the reasons for drafting the letter. It was his understanding that the Council directed the committee to ask for increased membership. Ms. Cathy Nelson Hartman indicated the Council asked the committee at the December 6, 2011 meeting if the committee would like for such a letter to be sent out as Council correspondence.
- Mr. Wasden indicated the committee will be willing to revise the letter to include the need for specialists and not just increased membership as suggested. Mr. Wasden asked if the revisions to the letter would be acceptable to the University Records Management Committee, as the letter asks for additional membership on the URM as well. Mr. Chris Foster indicated the revisions would be acceptable to the URM.
- Ms. Ferrari indicated the committee will make the changes as requested. Mr. Wasden asked for clarification about which Council member had the authority to approve the letter for distribution. Ms. Rudd indicated that approval from the Council chair and vice-chair was sufficient. Ms. Rudd asked who would be responsible for distribution of the letter to state agencies. Mr. Wasden noted that his staff would be able to distribute the letter if a distribution list was made available to them.
- Ms. Hartman and Ms. Scofield clarified that the letter would be sent out as official Council correspondence, with Ms. Rudd's signature as chair of the Council and not as head of the state library. Mr. Wasden noted the draft of the letter mentions all of the members of the Council.
- Additional work sessions and meetings are being scheduled to analyze the survey results and prepare the report to the Council, Ms. Ferrari noted. Ms. Nanette Pfiester has created a template to facilitate completion of the analysis and preparation of the report.
- Mr. Wasden drew the Council's attention to the summaries of the activities of the committee's three workgroups included in the meeting materials packet. Additionally:
 - Mr. Wasden spoke at the e-Records conference in October about ongoing research in concerning the intersection of records management and the electronic world.
 - The social media management workgroup has been collaborating with a similar group at the Department of Information Resources.
- Mr. Wasden asked for guidance from the Council regarding the length of the report the committee will submit to the Council. He indicated there is a wealth of information to be presented, but the committee was concerned a lengthy report would be less likely to be read by the Council and the Texas Legislature. Ms. Rudd concurred that while the Council would read a

lengthy report, members of the legislature might not. Ms. Hartman noted the usefulness of an executive summary. Ms. Scofield agreed.

- Mr. Wasden asked if the Council had any questions regarding the subcommittee reports. Ms. Scofield noted she was pleased the e-mail management workgroup was looking towards the ANSI/ARMA standard on electronic messaging. She voiced her concern that e-mail retention should not just be for a set timeframe, but should focus on the content of the e-mail itself. Mr. Wasden noted that e-mail retention considerations are a continual challenge for many agencies.
- Mr. Wasden noted his appreciation for Mr. Dan McGowan of the Texas Department of Family and Protective Services for his assistance with the committee.
- Ms. Hartman asked if the Council needed to do anything further in regards to the survey. Ms. Rudd noted the survey was to be released by March 12, so the Council needed to review the survey as soon as possible. Mr. Wasden noted that the proposed revisions to the letter would be made by the end of the week.
- Ms. Julie Leung asked about the use of “not applicable” and “none of the above” in the survey. She noted these two responses are not interchangeable, and suggested a text box be added to facilitate additional information being submitted for “none of the above” survey responses. Mr. Wasden noted that “not applicable” and “none of the above” could be split into separate responses and a space be added for additional comments. Ms. Leung asked if the survey would include an estimated time to take the survey. Ms. Ferrari noted that such a time could be included in the survey introduction.
- Ms. Rudd said that any changes to the draft survey should be forwarded to the committee in the next day or two so the survey could be finalized by March 12.

IV. AGENDA ITEM 3 – REPORT FROM THE UNIVERSITY RECORDS MANAGEMENT COMMITTEE

- Mr. Chris Foster gave the report from the University Records Management Committee (URMC).
- Since the last Council meeting, the URMC has added the university records retention schedule (URRS) project as a goal of the URMC members. This addition was based on the level of involvement URMC members have had with the URRS project. The URRS project has become a priority for the URMC as it seems to be the most wanted item across all of the universities in Texas, Mr. Foster said.
- Mr. Foster gave a demonstration of the JIRA tracking software being used by the URMC to build out the URRS. The JIRA system allows users across the state to review and edit information as well as comment more easily than by telephone or e-mail.

- Mr. Foster drew the Council’s attention to the pie chart included in the meeting materials packet. The pie chart represents how the URRS is divided into records categories. Users can click on the individual slice to see all of the items being proposed as part of that section. Editing, commenting and review are allowed based on the permission level of the individual user.
- Individual users have the ability to benchmark records series as well. Texas State Library and Archives Commission (TSLAC) staff has been benchmarking the records series against various national organizations. The next phase will be Texas university benchmarking. Each individual organization will be able to enter the information for their own records series into the system within a framework set up for all organizations. The system helps capture opinions before a statewide example is proposed.
- The JIRA system allows users to input comments after data for their organization is entered. JIRA then takes the comment and alerts an appropriate staff member and logs the comment into the system. Comments are available for all users to review and vote on. If a user has a concern about the comment, all voting is stopped until the concern is addressed.
- Ms. Jan Ferrari asked if JIRA could be used as the prototype for other scheduling in the future. Mr. Foster responded the JIRA is a very open system that can be used for many things. The University of North Texas purchased the system several years ago at a relatively low cost. The system requires minimal IT intervention as well, he said. It competes favorably with more expensive tracking systems such as Remedy and Track It, Mr. Foster said. The system allows access to be shared with users in other state agencies quickly and easily.
- The URMCM anticipates finishing all benchmarking this month, Mr. Foster said. After benchmarking is completed, members will be able to examine the URRS from a more general records management perspective. Mr. Foster anticipates having an update and voting data for the Council at the Council’s June meeting. The URRS project has been the full focus of the URMCM for the past quarter, he said.
- Ms. Peggy D. Rudd asked about the meaning of the “unresolved” status in the JIRA tracking system. Mr. Foster explained that “unresolved” is the way JIRA lists an item that is still open or needs something further. Other specific statuses are included in the system, such as “send to a subcommittee for review”. These different statuses help the URMCM organize the 370 potential items for the URRS.
- Ms. Cathy Nelson Hartman asked about the digital archive proposed direction for the URMCM. At the previous Council meeting, Ms. Hartman asked if the focus had been more on social media. Mr. Foster replied that digital archives had become of enough interest to merit it being a proposed direction separate from social media. The digital archives proposed direction may or may not be removed at a future date. The interest in the proposed direction arose in part from data captured in the URMCM survey,

Mr. Foster said. Ms. Hartman asked if the focus was on institutional repositories or something else. Mr. Foster indicated this proposed direction was a lower priority and had not been explored in depth by the URMC at this time. The digital archives proposed direction could be collapsed into another item in the future, Mr. Foster said.

- Ms. Rudd noted that one of the major challenges state agencies face is the cost of archival storage. It was her understanding that under the new state contract, archival storage at the state data center will cost substantially less than storage for content that needs to be accessed regularly. More cost information will be forthcoming as the transition to the new contract takes place over the spring and summer, she noted. Ms. Hartman asked if the cheaper access meant slower speed drives. Ms. Rudd did not have any more details. Ms. Kim Scofield noted the archival storage may be offline but still accessible.
- Ms. Scofield noted that some data such as redistricting information might only be needed ten years in the future but will not need to be accessed in the interim. Such data needs to be archived in such a manner as to ensure it is accessible when needed in the future. Near line and offline systems require different maintenance than an online system, she said. Ms. Hartman asked if this meant a dark archive type of system. Ms. Scofield noted that access would be available but it would be more of a process than with an online system. Ms. Hartman noted that data such as the redistricting information Ms. Scofield mentioned might be of general interest. Such information needs to be discoverable as well as accessible., she said. Ms. Scofield noted that such a system could be as simple as an index noting the information was available and a way to request the information. Such indexing might be the way of the future, where information is indexed, preserved, and readable, Ms. Scofield noted. Mr. Stephen Quick asked if there would be a charge to access such online information. Ms. Scofield noted that there probably would be, but such a charge might be substantially less than maintaining the information online.

V. **AGENDA ITEM 4 – UPDATE ON RECENT CHANGES TO RECORDS RETENTION SCHEDULES**

- Ms. Sarah Jacobson presented information on recent changes to records retention schedules. Proposed changes to records retention schedules as well as public comment received were presented at the January TSLAC meeting. These changes were previously published in the *Texas Register*. Changes affect both the local and state records retention schedules.
- Based on numerous public comments against the new records series created in the local schedule concerning executive level correspondence, TSLAC asked that a new proposal be drafted. The proposal will be presented to TSLAC at its April meeting. Additional testimony was received from the Freedom of Information Foundation of Texas. The foundation requested the retention period for executive correspondence be

changed to four years from three years, and the period for general correspondence be increased to two years from one year. These changes would affect both the state as well as the local schedule and will be presented to TSLAC in April.

- Mr. Stephen Quick asked about the date of the April meeting. Ms. Rudd replied that the meeting date was April 17. Ms. Jacobson noted that if the commission approved the changes, they would be submitted to for public comment again. Ms. Cathy Nelson Hartman asked if this was why the previous proposal had been withdrawn. Ms. Jacobson indicated that was the reason.
- Ms. Rudd noted that having read the comments received, and having an understanding of the work done by the Texas Court Records Preservation Task Force, many local governments were more concerned about the money needed to preserve records rather than the retention periods themselves. To many local governments, this seemed to be yet another unfunded mandate, she said. This attitude towards records management is an issue for concern, in her opinion. Ms. Kim Scofield asked if similar responses had been received from state agencies as well. Ms. Rudd indicated there were not.
- Ms. Cathy Nelson Hartman noted that this begged the question of how to have open government without records retention. Ms. Rudd said that question would be of note during the discussion on the Senate Select Committee on Open Government.

VI. AGENDA ITEM 5 – UPDATE ON LOCAL GOVERNMENT RECORDS STORAGE TASK FORCE

- Ms. Peggy D. Rudd noted that a local government records storage task force has been formed and will hold a meeting in April. Ms. Rudd noted that Mr. Craig Kelso is the new head of State and Local Records Management for TSLAC starting April 2.
- Ms. Sarah Jacobson said that comments about the proposed new records storage rules were presented at the January TSLAC meeting. The changes came about as a result of HB 1559 from the last legislative session, she said. The bill tasked TSLAC with creating rules for storage of court records at the local level.
- Ms. Jacobson noted that numerous negative comments were received regarding the proposed new storage rules. Many concerned the lack of funding available for renovation of buildings or storage facilities. Many county and district clerks appreciate the need to preserve court records but are hampered by lack of funding to do so.
- Based on the comments received, TSLAC created the task force. The goal is to include local stakeholders and find a way to adequately preserve local records without placing an undue burden on local governments.

- The task force will pursue other options to move forward with finding funding sources for records preservation. The task force hopes to use a portion of county and district court filing fees to provide grants for records preservation.
- Ms. Cathy Nelson Hartman asked about the makeup of the task force. Ms. Jacobson said Mr. James Allison, general counsel of the County Judges and Commissioners Association of Texas is a member of the task force. Other members include a legislative liaison from the Texas Association of Counties, two representatives from the County and District Clerk's Association of Texas, and a representative from the Texas Conference of Urban Counties.
- Ms. Rudd noted there is a packet of information being prepared in advance of the April meeting of the task force. Ms. Jacobson said she would forward the information to Ms. Hartman.
- Ms. Rudd noted two TSLAC commissioners are serving on the task force—Mr. Larry Holt and Ms. Martha Doty Freeman. Mr. Holt is an attorney in the Bryan/College Station area. Ms. Freeman is vice-chair of TSLAC and lives in Austin, Ms. Rudd said. She noted the presence of the Honorable Sarah Davis on the task force as well. Ms. Rudd noted the task force is a good representation of local stakeholders who will bring forward their concerns.

VII. AGENDA ITEM 6 – UPDATE ON TEXAS COURT RECORDS PRESERVATION TASK FORCE

- Ms. Laura Saegert was scheduled to provide an update on the task force but was unable to attend the Council meeting. Ms. Peggy D. Rudd noted that task force member Mr. Bill Kroger had recently sent an e-mail to task force members regarding scheduling their next meeting.
- Ms. Rudd mentioned the recent article about the task force in *Texas Monthly* and encouraged those who had not read it to do so.
- About two weeks prior to the Council meeting, task force members as well as members of the State Bar Association and TSLAC met with the Bob Bullock Texas State History Museum regarding a possible future exhibit on records preservation at the museum. Ms. Rudd noted that such an exhibit might not occur until 2015, but such an exhibit would help fulfill the task force's commitment to raising public awareness of the need for records preservation over the long term.
- Ms. Jan Ferrari noted that she has been attending the task force meetings as well. It was her opinion that a strong records management perspective is needed on the task force. There is greater interest in digital preservation including microfilming in

addition to conservation of records, she said. Digital preservation allows more access to the records than just conservation.

- Ms. Rudd noted the task force will meet again prior to the Council's June meeting, so more information will be available at the June meeting.

VIII. AGENDA ITEM 7 – DISCUSSION OF SENATE SELECT COMMITTEE ON OPEN GOVERNMENT INTERIM CHARGES

- Ms. Julie Leung brought the Council's attention to the interim charges given by the Senate to the Senate Select Committee on Open Government in January.
- Two of these interim charges appear to be relevant to the Council:
 - Examine the effectiveness of security measures used to protect electronic information held by state agencies and make recommendations for enhancing security, if needed.
 - Review record retention policies for state and local governments and make recommendations for improvements to record retention schedules and policies, including e-mail retention and archiving requirements. Consider the benefits and disadvantages of creating a uniform record retention policy.
- Ms. Leung has been checking the committee meeting schedule but no meetings have been scheduled for the committee at this time.
- An article was published in February in the San Antonio Business Journal regarding cybersecurity. The Department of Information Resources (DIR) is producing a statewide cybersecurity survey on behalf of the new Cybersecurity, Education and Economic Development Council, Ms. Leung said. Since this survey might overlap with the survey undertaken by the Best Practices Committee, Ms. Leung noted the Council might want to obtain more information about the DIR survey might be useful.
- DIR is hosting an information security forum on May 15, Ms. Leung said. The forum is an annual event. Ms. Rudd asked if the forum was available online for those who could not attend in person. Ms. Leung noted she would forward information about the event to Council Members.
- Ms. Leung shared an article from the Information Systems Audit and Control Association (ISACA) journal regarding information security and records information management. She noted she would forward a copy of the article to anyone wanting it.
- Ms. Rudd noted that the Senate Select Committee on Open Government is chaired by the Honorable Jeff Wentworth. TSLAC staff met with committee staff regarding the interim charge on record retention policies. The committee was not formed until after the 2011 legislative session, and the interim charges are its first

activity, Ms. Rudd said. Hearings will be held on each of the interim charges over the summer, she added.

- A task force on unfunded mandates was formed by the governor in February 2011, Ms. Rudd said. This task force issued numerous recommendations in May 2011. Ms. Rudd noted there were no records managers on the task force. The task force recommended that local records retention schedules should be seen as guidelines and not rules, she said. Ms. Rudd noted that the Senate Select Committee on Open Government does not appear to be headed in the same direction as the task force.
- TSLAC has forwarded information regarding the records retention schedule to the committee, Ms. Rudd said. The committee will have invited testimony at a hearing to be held during the summer or early fall.
- Ms. Kim Scofield asked that the information forwarded by TSLAC to the committee be sent to her as well. Ms. Rudd indicated that it would be. Ms. Cathy Nelson Hartman asked if the task force's report was available. Ms. Rudd noted that it was available through the Office of the Governor's website.
- Ms. Rudd expressed her appreciation to Ms. Leung for bringing the information about the interim charges to the Council's attention. She noted the committee is aware of and appreciates the importance of the Council. She noted the committee's chair, Senator Wentworth, has been supportive of records management issues in the past.
- Ms. Hartman asked where Ms. Leung had obtained the information about the Senate interim charges. Ms. Leung noted it had come from the Office of the Lieutenant Governor's website. Ms. Rudd noted that information about Senate committees could be found on the Senate website as well. At some point, Ms. Rudd believes that the Council will want to comment on the interim charges in its official capacity.
- The Senate Committee on Business and Commerce has started its own website (<https://bandc.posterous.com/>), Ms. Leung said. While she was unaware if other committees had done so as well, she noted the most up to date some information might be found on the committee's own website rather than on the Senate website.

IX. OTHER BUSINESS

- Mr. Dan Procter noted that Mr. Simon Skedd was no longer able to serve on the Council, and the vacancy needed to be filled. At the Commission's December meeting, Ms. Hope Morgan had mentioned she might know of a candidate to fill the vacant position. Mr. Procter noted the vacancy is for an auxiliary member who is an information resources manager. Ms. Peggy

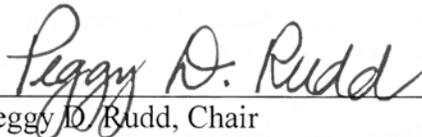
D. Rudd asked for suggestions from the Council members for candidates to fill the vacancy. Ms. Cathy Nelson Hartman asked about the requirements for the member to fill the vacancy. Mr. Procter indicated the vacancy was to be filled by a state agency information resources manager. Ms. Rudd suggested Council members could contact their own agency information resources manager for suggestions. Since Ms. Morgan was unable to attend the meeting, Ms. Rudd noted she would contact her about suggested candidates to fill the vacancy.

- Ms. Hartman asked about the date of the next Council meeting. The Council will meet again on June 12.
- Council clerk Ms. Jill S. Ledbetter noted there would be minutes from several older meetings of the Council made available on the Council website later in the week. The minutes date back to 2000 and 2002.
- Ms. Jan Ferrari mentioned she has been looking into training for both information security and e-discovery. Many courses offered are very expensive. However, many organizations offering such training can be joined at no cost, and members receive information for free. Ms. Ferrari noted that it might be helpful for Council members to receive training and increase their knowledge in these subject areas on an ongoing basis. Ms. Rudd noted attending the DIR conference to be held on May 15 might be free or at least low cost.

X. PUBLIC COMMENT

- No public comment was received.

There being no further business, the meeting stood adjourned at 11:47 a.m.



Peggy D. Rudd, Chair
Records Management Interagency Coordinating Council