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MINUTES
RECORDS MANAGEMENT INTERAGENCY COORDINATING COUNCIL
MEETING
March 8, 2011

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The Records Management Interagency Coordinating Council (RMICC or Council) held a
meeting on Tuesday, March 8, 2011 at 4400 Shoal Creek Boulevard.

MEMBERS PRESENT

Peggy D. Rudd, Chair
Wendy Benestante (representing Hope Morgan), Member
Cathy Nelson Hartman, Member
Todd Kimbriel (representing Doug Holt), Member
Julie Leung, Member
Dan Procter, Member
Stephen Quick, Member
Kim Scofield, Member
Simon Skedd, Member

GUESTS

Mary Lou Carpenter, The University of Texas System
Jan Ferrari, Texas State Library and Archives Commission
Chris Foster, University of North Texas System
Maryrose Hightower-Coyle, The University of Texas at Austin
Sarah Jacobson, Texas State Library and Archives Commission
Dan McGowan, Texas Department of Family and Protective Services
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
Michael Reagor, Texas State Library and Archives Commission
Susan Rhyne, Railroad Commission
Arann Sheperd, Texas State Library and Archives Commission

I.   CALL TO ORDER

A quorum being present, Chair Peggy D. Rudd called the meeting to order at
10:31 a.m.

II. **INTRODUCTION OF NEW RMICC OFFICERS (CHAIR AND VICE CHAIR), MEMBERS AND/OR SUBSTITUTES**

The Chair called for the introduction of RMICC members. As shown above, the record of the meeting reflects that Ms. Wendy Benestante represented Ms. Hope Morgan and Mr. Todd Kimbriel represented Mr. Doug Holt at the meeting.

III. **APPROVAL OF THE DECEMBER 7, 2010 MINUTES**

Minutes to the Council meeting held December 7, 2010 were approved as follows:

MOTION made by Mr. Todd Kimbriel, seconded by Mr. Simon Skedd, and carried with one abstention to approve the minutes of the meeting of the Records Management Interagency Coordinating Council held September 7, 2010, as presented.

IV. **AGENDA ITEM 3 – DISCUSSION OF CONTINUATION OF THE BEST PRACTICES COMMITTEE**

- Ms. Peggy D. Rudd noted the retirement of Ms. Martha Richardson, who had been instrumental in the founding and continuation of the Best Practices Committee. Ms. Rudd asked Ms. Jan Ferrari to provide an update on the committee's work. Since Ms. Richardson's retirement, Ms. Ferrari and Mr. T.J. Wasden were appointed as co-chairs of the committee. Mr. Wasden has chosen Mr. Dan McGowan, also of the Texas Department of Family and Protective Services, as his designee on the committee as well.
- Ms. Ferrari asked for volunteers to serve on the committee. She noted the committee has a large number of workgroups, so many volunteers will be needed.
- Ms. Ferrari noted the possible action items regarding the committee that the Council included in the biennial report.
  - The first item is to continue looking at ways to analyze the responses from the Information Resources Deployment Review Annex (IRDR) survey along with agency responses to the Agency Strategic Plan-IR request to "Describe agency strategies to enhance information asset management practices" to identify agencies that are actively pursuing workable solutions to improve data and information management.
  - The second possible action item is to follow-up with identified agencies to investigate and collect successful policies, procedures, and technology solutions.
  - The third item is to develop best practices based on agencies' successful procedures and promulgate statewide.

- The fourth item is to develop survey instrument similar to IRDR survey but from Records Management Officer's point of view of agency's practices for managing electronic records.
- The last item is to identify opportunities to encourage interaction between records managers, information technology staff, legal and business units.

- Ms. Ferrari indicated the last action item is probably the most critical item, as the other items are based on it. She noted that one of the most important tasks of her division of the Texas State Library and Archives Commission is to continue developing these sorts of interactions with related businesses.
- Ms. Rudd noted that the committee has quite an expansive charge from the Council, and asked that Ms. Ferrari remind the Council of the committee's individual workgroups. Those workgroups are:
  - Texas Workgroup – identifies Texas regulations and standards for managing electronic records and currently used practices for managing data and information in Texas government.
  - Technology Workgroup – develops best practices for information architecture and governance for the life-cycle management of future electronic information.
  - National/International Workgroup – identifies guidelines, standards, regulations, and best practices about managing electronic records from professional organizations, standards setting bodies, other states and other countries.
- Mr. Todd Kimbriel noted that the Department of Information Resources staff analyzing the IRDR work for him, and pledged his cooperation with the committee if there was information needed from the IRDR analysis.
- Ms. Nanette Pfiester noted there had been about 40 questions added to the IRDR concerning records management since the last survey.
- Ms. Cathy Nelson Hartman asked Ms. Ferrari about previous membership on the committee. Ms. Ferrari indicated Ms. Richardson had passed on that information to her, and she was in the process of reviewing it. A number of individuals have indicated their continued interest in serving on the committee. Ms. Rudd asked that anyone attending the meeting who might be interested in serving on the committee see Ms. Ferrari after the meeting.

V. **AGENDA ITEM 4 – PROGRESS UPDATE FROM THE UNIVERSITIES RECORDS MANAGEMENT COMMITTEE**

Mr. Chris Foster of the University of North Texas presented the progress update from the Universities Records Management Committee (URMC).

- The URMC has organized a Generally Accepted Recordkeeping Principles (GARP) taskforce. The taskforce will look at ARMA International's principles and align those principles with the baseline assessment of

records management programs the URMC is developing. The URMC intends to distribute the baseline assessment later in the spring.

- The URMC has developed a number of questions related to each of the ARMA principles. The principles were chosen as a framework for questions on the baseline assessment as ARMA is well-recognized and respected in the records management community. The URMC's GARP taskforce planned to hold a meeting at the conclusion of the Council meeting to further refine the questions to be included in the baseline assessment. The taskforce has developed about 50 questions in total, and hopes to reduce the number to closer to 30 for the baseline assessment. The taskforce's goal is to develop a survey that can be completed in 10 minutes or less.
- The URMC is finalizing the survey platform to be used for the baseline assessment as well. The University of North Texas (UNT) has made available a subscription to a survey tool called Qualtrics, which Mr. Foster believes the URMC may utilize for the baseline assessment. The survey tool allows for the survey questions to be formatted based on each response to previous questions.
- Mr. Foster called the Council's attention to the timeline for the URMC's survey included in the URMC project update report to the Council. After the survey questions are finalized by the taskforce, Mr. Foster noted that the taskforce is asking the State and Local Records Management Division (SLRM) of the Texas State Library and Archives Commission to review the questions. After feedback is received from the SLRM, Mr. Foster anticipated the survey will be ready for distribution by the end of April.
- Mr. Foster asked the Council if the URMC needed final approval of the survey from the Council before it is distributed. He noted the URMC would like to distribute the survey in mid-May, which is before the next scheduled meeting of the Council. By distributing the survey in mid-May, the URMC will be able to bring their work plan to the Council at the Council's June meeting. The URMC will then be able to prioritize their work on best practices over the summer.
  - o Ms. Cathy Nelson Hartman indicated she saw no need for the Council to give final approval of the survey questions as the council had already authorized the URMC to distribute the survey. Ms. Peggy D. Rudd noted the close working relationship the URMC has with the SLRM. Ms. Kim Scofield indicated her agreement with Ms. Hartman, as did Ms. Rudd. Mr. Foster noted the URMC will forward the survey and accompanying memo being sent to records management officers to the Council members by email.
  - o Mr. Foster noted the survey will be sent to other program managers the URMC is aware of as well as records managers.
- Mr. Foster updated the Council on the status of the Texas State Universities Records Retention Schedule (URRS) project. The URRS is under review by SLRM. The Records Management Assistance (RMA)

unit of SLRM is benchmarking the URRS against the current local schedule, as well as against local, state and national standards that affect university records retention.

- o The JIRA tracking system used by UNT is being utilized to track the data collected for the URRS project. JIRA was designed to be used to track information technology project issues, and requires little setup to utilize. UNT offered the system to SLRM to use to track the benchmarking of the URRS. JIRA allows for commenting and voting on the data in the system, and the data can be exported from the system without destroying the data model. Mr. Foster has used the JIRA system extensively at UNT, and has been very pleased with the system.

- • Mr. Foster updated the Council on the status of membership on the URMC. Recently, the URMC added two members representing Tarleton State University, Mr. R. Michael Haynes and Ms. Kelli Styron. Both of these individuals approached the URMC and asked about membership. Additionally, the URMC is aware of interest in the URMC from community college representatives.

- • Mr. Foster noted that membership in the URMC is about 30 members at this time, and pointed out the URMC steering committee members to the Council. The steering committee is comprised of Mr. Foster, Ms. Sarah Jacobson, Ms. Mary Lou Carpenter, Ms. Maryrose Hightower-Coyle, Ms. Angela Ossar, and Mr. Leo Yanez. The steering group would like to add a university archivist to its membership from the general membership.

- • Ms. Rudd noted that the Texas State Library and Archives Commission (TSLAC) has adopted a slightly different approach to considering records retention schedules changes. She suggested the URMC may want to meet with the TSLAC subcommittee in charge of such consideration when the URMC feels the URRS is ready.

VI.   AGENDA ITEM 5 – RECORDS MANAGEMENT TRAINING FY11

- • Ms. Jan Ferrari of the Texas State Library and Archives Commission presented information about upcoming records management training.
    - o The National Association of Government Archives and Records Administrators conference will be held April 7 and 8. Speakers will include Jesse Wilkins and Richard Pearce-Moses.
    - o TSLAC's e-Records conference will be held in FY 2012, more than likely on November 9.
    - o Other records management training is available online through the TSLAC website. ARMA International has training opportunities available as well.
    - o Ms. Kim Scofield noted that the Office of the Attorney General's open government conference will be held in early December. This

conference was scheduled for December in order to avoid conflicting with the e-Records conference in November.

  o Ms. Ferrari mention the EPIC conference through the Information Science School will be held in October.

  o Ms. Peggy D. Rudd asked that information about training opportunities be distributed to the Council. Ms. Ferrari noted such information could be added to the Council website.

- Ms. Scofield noted that Austin has an active ARMA chapter. She thought it would be helpful if training opportunities such as those through ARMA be announced in advance. Many of these training opportunities are open to non-governmental individuals as well. Ms. Ferrari noted these opportunities are generally inexpensive. Ms. Scofield noted she will be a co-presenter with Ms. Tammy Russo of Dell at the March 9 ARMA Austin workshop. The workshop will focus on conducting a records inventory and developing a records retention schedule. The workshop is part of a four-part series. Cost is $10 for ARMA members and $15 for non-members. The workshop will be held at the Goodwill Community Center on Norwood Park.

VII.   AGENDA ITEM 6 – RECORDS MANAGEMENT BILLS FILED

- Mr. Michael Reagor of Texas State Library and Archives Commission (TSLAC) presented information on bills of interest to RMICC that have been filed in the current legislative session. He highlighted four bills in particular that deal with general records management:

  o HB 69 (Martinez), relating to the application of a vital statistics record fee to general records management. This bill concerns usage of the $1 fee for vital statistics records issued by local registrars and county clerks. Currently, this fee is being used for preservation of vital statistics records. The bill would allow the fee to be used for general records management as well. Ms. Peggy D. Rudd noted this is not adding a new fee, just allowing the fee to be used for additional purposes.

  o HB 1055 (Villarreal), relating to a fee by certain municipalities for the management and preservation of municipal records. This bill allows municipal clerks to charge a $5 fee for records management and preservation services. This applies to cities with a population of more than one million only.

  o HB 1559 (Davis), relating to a prohibition on the destruction of certain court documents. This bill requires permanent retention of all court records prior to 1951, and applies to all courts in the state from the Supreme Court down to local municipal courts. Members of TSLAC staff including Ms. Rudd met with Representative Davis on March 7. TSLAC feels the bill might be too broad in scope as this bill applies to all court records, including non-case

related records. Additionally, this bill gives rulemaking authority concerning such records to the Supreme Court of Texas. The Supreme Court does not wish to have this authority for these records. Mr. Reagor indicated that Representative Davis was receptive to the concerns raised about the bill, and believes the bill will be changed to give TSLAC rulemaking authority concerning the records rather than the Supreme Court. He indicated he believed the bill would be modified to still include all court records, but allow those records to be subject to retention schedules being modified by TSLAC to include these records. Ms. Rudd noted those modified retention schedules are intended to be completed by TSLAC's June commission meeting.

o HB 1844 (Guillen), relating to storage of local government records by the Texas State Library and Archives Commission. This bill would allow TSLAC to store records for local as well as state government agencies. Mr. Reagor indicated a public hearing on this bill was scheduled for March 9.

   ▪ Ms. Rudd noted that TSLAC approached Representative Guillen to sponsor this bill. TSLAC was concerned that HB 1, if passed, requires increased fees for storage at the state records center. Currently, 85 agencies store their records at the state records center, and their storage fees would nearly double if HB 1 passes as proposed. The increased fees are a result of the Government Efficiency and Effecitveness Report that came out at the beginning of the legislative session. The Legislative Budget Board (LBB) concluded the TSLAC was not charging fees sufficient to make records center services revenue neutral. In particular, the LBB felt indirect costs for administering records center services (such as staff benefits, depreciation, etc.) should be included in the fees charged for records center services. TSLAC revised their fee schedule to encompass the LBB's concerns, resulting in a large fee increase to state agencies storing their records at the state records center. Ms. Rudd noted this fee increase could cause state agencies to reconsider storing their records at the state records center. TSLAC has been approached in the past by local governments such as Travis County about storage of records. TSLAC approached Representative Guillen about this bill to make such storage a possibility. This bill would give TSLAC the ability to extend records center services to other government entities, and charge for those services.

   ▪ Ms. Kim Scofield inquired about the parameters for including local governments in the state records center. Ms. Rudd noted it would make most sense for local governments primarily in the Austin area to utilize the state

records center. Ms. Rudd indicated such storage agreements would be at TSLAC's discretion, and more than likely storage for entities outside of the Austin area would not be cost-effective.

- Ms. Scofield inquired about the reasons for less utilization of the state records center. She asked if it was because agencies are transitioning away from paper records to electronic storage solutions. These electronic records may be stored at the state data center. Ms. Rudd indicated TSLAC is the cheapest alternative for records storage currently available, and their fees include the full range of services available from the state records center. The state records center is nearly at full capacity at the current time, but TSLAC is concerned about the effect that HB 1, if passed, would have. In light of increased fees, some state agencies might choose to not continue to utilize the state records center for records storage. Ms. Rudd noted the LBB believes the top 10 state agencies will continue to utilize the state records center, but TSLAC wanted to have options in place to keep the state records center at full capacity if state agency customers leave. Ms. Rudd noted the services provided by the state records center really can not be met by other providers.

- Ms. Nanette Pfiester of TSLAC presented information about the Required Report of Reports prepared by TSLAC in 2007, 2009 and 2011.
    o TSLAC has been asked to look into required reports that might be combined or eliminated in order to reduce costs to state agencies. The report does not include some information such as riders to bills and routine notifications.
    o For this year's report, about 1466 reports are listed in the report. This number may be an understatement of the reports generated each year. In 2009, there were 66 reports required of all state agencies and universities. This leads to a total of 9,000 – 10,000 reports filed each year.
    o Since 2009, there are about 100 new reports, and 19 reports were repealed.
    o Changes have been recommended to 133 reports by the TSLAC workgroup. Recommended changes including filing some reports annually instead of quarterly, or be combined with another report. About 367 reports were recommended for repeal.
    o The TSLAC workgroup examined what legislation was passed in the 2009 session with assistance from the Legislative Council. Of the approximately 1600 bills passed in the 2009 session, about 200 might include reporting requirements.
    o Some required reports reference agencies that no longer exist. Additionally, some agencies are required to produce an annual

report of funds disbursed and received. This requirement was replaced by the annual financial reporting requirements.

- o HB 326 (Guillen) was filed, relating to the reporting requirements of a state agency that is undergoing review by the Sunset Advisory Commission. Under this bill, reporting requirements must be looked at as part of the review process.
- o HB 1781 (Price) was filed, relating to obsolete or redundant reporting requirements applicable to state agencies. This bill suggests that agency executive directors should review reports that are created that are unique to their agency by August 1, 2012.
- o SB 71 (Nelson) was filed, relating to certain reports submitted and analyses conducted by health and human services agencies. This bill recommends that some reports move to a biennial rather than annual schedule, and some reports be eliminated.
- o SB 200 (Zaffirini) was filed, relating to an evaluation by the Texas Higher Education Coordinating Board of reports required of institutions of higher education. This requires the board to examine reports required of higher education institutions (including federal reports) and report their findings by May 1, 2012.
- o SB 1179 (Nelson) was filed March 4, relating to the elimination of certain required reports prepared by state agencies and institutions of higher education and other obsolete provisions of law. The focus will be on repealing approximately 150 reports.

VIII. **AGENDA ITEM 7 - OPEN RECORDS/OPEN MEETINGS BILLS FILED**

- Ms. Kim Scofield indicated she had no information to share with the Council about open records or open meeting bills filed for this session. The Council will discuss any such bills filed at the Council's June meeting, if appropriate.
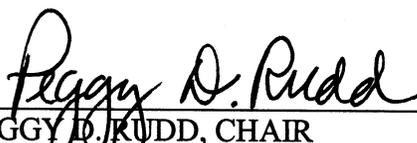
IX. **OTHER BUSINESS**

No other business.

X. **PUBLIC COMMENT**

No public comment.

In the absence of any further business, the meeting stood adjourned at 11:17 a.m.

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PEGGY D. RUDD, CHAIR
Records Management Interagency Coordinating Council