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MINUTES
RECORDS MANAGEMENT INTERAGENCY COORDINATING COUNCIL
MEETING
September 13, 2011

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The Records Management Interagency Coordinating Council (RMICC or Council) held a meeting on Tuesday, September 13, 2011 at the Lorenzo de Zavala State Archives and Library Building, 1201 Brazos Street.

MEMBERS PRESENT

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

MEMBERS NOT PRESENT
Hope Morgan, Member
Simon Skedd, Member

GUESTS

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, Department of Family and Protective Services
Tim Nolan, Texas Water Development Board
April Norris
Angela Ossar, Texas State Library and Archives Commission
Nanette Pfiester, Texas State Library and Archives Commission
Roy Philips, Railroad Commission
Susan Rhyne, Railroad Commission
Steve Woodall, University of North Texas Health Science Center

I.   **CALL TO ORDER**

A quorum being present, Chair Peggy D. Rudd called the meeting to order at 10:37 a.m.

II.   APPROVAL OF THE JUNE 17, 2011 MINUTES

Minutes to the Council meeting held June 17, 2011, were approved as follows:

MOTION made by Mr. Todd Kimbriel, seconded by Ms. Cathy Nelson Hartman, and carried unanimously to approve the minutes of the meeting of the Records Management Interagency Coordinating Council held June 17, 2011, as presented.

III.   AGENDA ITEM 2 – REPORT FROM THE BEST PRACTICES COMMITTEE

- Ms. Jan Ferrari noted that Mr. T.J. Wasden, the committee's other co-chair, was not able to attend the meeting so Mr. Dan McGowan would present part of the committee's report.
- Ms. Ferrari indicated the three working groups of the committee (Email Management, Electronic Records Management and Social Media Management) have begun meeting to gather research and develop content for their respective topics. Two meetings have been held so far. Additionally, the working groups have begun to populate an electronic research library on Google Docs. Development continues on a website that will allow the working groups enhanced collaboration.
- Additionally, the working groups are in the early stages of developing a survey to send to state agencies to gather information about agency practices.
- Mr. McGowan noted the Email Management working group has had two meetings to date and plans to meet monthly for the duration of the project.
- The Email Management working group met on September 12, 2011 and finalized the elements of the group's portion of the committee's report. Information in the report will include:
    - Why every organization needs an email policy. The working group will include a model policy outlining best practices as defined by their research.
    - Financial impact of having an email policy. Mr. McGowan noted a study he had seen indicated the cost of storing 1G of information at about $9.00 monthly. Multiply that cost by the number of agencies storing information and it becomes a significant cost.
    - Identifying available technology for archiving email.
    - Recommended employee training for email management.
    - Outreach to the legal community, the media, and the general public to raise awareness of the importance of email management.
- Ms. Ferrari noted the Social Media Management working group has identified three issues for study:
    - Defining what a social media record is.

- o Researching the statewide policy for classifying social media records.
  - o Finding an appropriate method for capturing and storing social media records.
- Ms. Sarah Jacobson is the chair of the Social Media Management working group and is a member of a similar working group with the Department of Information Resources (DIR) as well, Ms. Ferrari said. The group's next phase will be to determine how to group the reference materials, and expanding from that point.
- Ms. Nanette Pfiester is the group leader for the Electronic Records Management working group. Mr. McGowan indicated the group has sent articles regarding electronic records management to its members. The information included:
  - o Data and electronic records management best practices
  - o Roles and responsibilities
  - o Standards
- The Electronic Records Management working group would like to develop a toolkit for electronic records management and plans to work with DIR to develop recommendations for RMICC's legislative report.
- Mr. Todd Kimbriel noted the wide variety of email archive technology available in the marketplace and offered his assistance to the committee regarding such technology. He noted DIR is using an email service hosted by Microsoft, but many agencies are not using such a service.
- Ms. Ferrari said the next two meetings of the committee are scheduled for October 10, 2011 and December 5, 2011. Both meetings will take place in room 227 of the Lorenzo de Zavala State Archives and Library Building, from 1 until 4:30 p.m.
- Ms. Kim Scofield commented that ARMA has been working on a similar electronic records management best practices project, and noted Margaret Hermesmeyer is a part of the ARMA committee. Ms. Scofield noted Ms. Hermesmeyer might be of assistance to the Best Practices Committee and suggested contacting her. Ms. Scofield indicated ARMA is in the process of developing information that might be of assistance to the committee. Some of ARMA's information might not be applicable to electronic records management by governmental agencies, but it still contains useful insights. Ms. Cathy Nelson Hartman noted that some of the information being collected by the Universities Records Management Committee might be useful as well.
- Ms. Scofield noted that some agencies use GroupWise for email management rather than the Microsoft tool Mr. Kimbriel mentioned. Ms. Peggy D. Rudd asked if DIR is considering setting a standard as to what product state agencies should use for email management. Mr. Kimbriel noted setting such a standard is beyond the scope of DIR's authority, although DIR can make recommendations. DIR has migrated from GroupWise to Exchange in a cloud environment, and the change has been cost-effective. Ms. Scofield asked if the DIR cloud environment was

through the state data center. Mr. Kimbriel indicated it was not. DIR's email management system is through Microsoft, and the product is called Office 365. Ms. Scofield noted that cloud environments raise security concerns, and Mr. Kimbriel agreed.

- Ms. Rudd posed a question about the existence of a model email policy. She indicated a very broad policy regarding email as a public record had been created several years ago. Mr. Tim Nolan indicated he thought such a broad policy model had been created in the late 1990's. Ms. Rudd noted that she thought it was around 2001. Mr. Nolan indicated the Council had approved the broad policy model for state agency use. The policy was withdrawn after it was noted it did not address federal guidelines to keep email in its native format, Mr. Nolan said. Ms. Rudd said looking at components of the old policy might be useful as a new policy is drafted.

- Ms. Rudd asked about the timeline for the survey for state agencies being developed. Ms. Ferrari indicated the survey is being drafted to include elements supporting each working group's information needs. The survey should provide a gap analysis between current practices and better practices being recommended by the committee. The survey may be reviewed at the next best practices meeting on October 10, 2011 depending on input from committee members. Ms. Rudd asked if the draft of the survey could be shared when it was ready.

- Ms. Hartman complimented the organizational structure chosen by the Best Practices Committee. She indicated the organization of the work should provide valuable feedback.

IV. **AGENDA ITEM 3 – PROGRESS UPDATE FROM THE UNIVERSITIES RECORDS MANAGEMENT COMMITTEE**

- Mr. Chris Foster said the Universities Records Management Committee (URMC) had released the baseline assessment survey of university records management programs. The URMC intends to use data gathered from the survey for all of the URMC's future initiatives. Key initiatives for the URMC include developing best practices for university records management as well as models for how a university records management program can and should operate.

- The survey was released on August 23, 2011. Mr. Foster noted preliminary survey results were included in the informational materials for the September 13, 2011 Council meeting.

- Mr. Foster noted the URMC did not anticipate a lot of unfamiliar information or concerns to be generated by the survey. Most members of the URMC are university records managers, and as such are familiar with most issues related to university records management programs. The survey serves as a vehicle for other university records managers who are not members of the URMC to voice their concerns, and confirms areas of concern already known to URMC members.

- Mr. Foster said the survey has had about a 50% response rate since its release. He pointed out on page 20 of the preliminary survey results, 47% of survey respondents indicated email is retained and searched by employees in an email application program. On page 18 of the preliminary survey results, 53% of respondents indicated that users are required to manage and retain email within personal or archive files on an individual machine or network storage drive. These responses were expected by the URMC. The URMC's goal is to take this information and develop best practices for universities as a whole to manage email, including purging of email and email life cycle management. Mr. Foster noted that archived email can represent a very large volume of information, and many universities are not giving enough support to the management of such information. The URMC's goal is to develop best practices toolkits to help universities to manage such information. Such toolkits might help make managing such large volumes of information more cost-effective as well, Mr. Foster noted.
- The survey response period closes September 30, 2011. The URMC expects about 50 responses to the survey, and has received approximately 20 responses to date. The survey was distributed to 43 university records management officers as well as a number of known records management program managers. Response to the survey has been favorable to date, and has included references to both the URMC and to the university records retention schedules proposed for development.
- On page two and three of the URMC report, Mr. Foster noted the amended timeline for the URMC's projects.
  - The deadline for survey responses was extended approximately a month and a half to accommodate the needs of several survey respondents. Universities have different procedures for survey response, and some are more time-consuming than others.
  - The URMC will begin contacting survey non-respondents starting the week of September 19.
  - Mr. Foster recognized the members of the URMC steering group present at the meeting: Kris Toma (Texas State University), Steve Woodall (University of North Texas Health Sciences Center at Fort Worth), Angela Ossar (Texas State Library and Archives Commission), April Norris (University of Texas School of Information), and Maryrose Hightower-Coyle (The University of Texas). The steering group will meet in October and November to analyze survey results and develop priorities for the URMC based on the survey results.
  - The URMC will present its workplan to the Council at the Council's December 6, 2011 meeting.
- Ms. Sarah Jacobson presented information from the URMC regarding the university records retention schedule project. The URMC is in the process of upgrading the schedule, Ms. Jacobson noted. The URMC has analyzed a number of existing university records retention schedules for guidance,

including records retention schedules from Georgia as well as the records retention scheduled currently in use at The University of Texas at Austin.

- The URMC anticipates a rough draft of the university records retention schedule will be completed by January 1, 2012. At that time, the rough draft will be presented to the URMC for feedback.

- Ms. Ossar has been inputting information about the records retention schedule into the JIRA tracking system. Mr. Foster noted this system allows the Texas State Library and Archives Commission staff working on the project to implement and manage data in one system, allowing for easier distribution of the information without loss of data integrity.

- Mr. Foster noted one of the original goals of the URMC was to strengthen collaboration among university records managers. To this end, the URMC has implemented a records management listserv. Also, the URMC will hold a roundtable discussion at the 2011 e-Records conference. In 2010, the group held an information discussion over lunch. In 2011, the URMC will use the roundtable discussion to showcase the work of the UMRC over the past year as well as present the results from the baseline assessment survey. The URMC would like to make such a roundtable a permanent part of the annual e-Records conference.

- Ms. Kim Scofield asked about automatically adopting the state records retention schedule as it currently stands and then including exceptions to the schedule as needed for university records. Mr. Foster indicated the URMC has not formally discussed such adoption but several responses to the survey have noted that might be preferable. Ms. Jacobson noted the intent with the university-specific schedule was not to replace the current schedule but to supplement it for university-specific program records.

V. OTHER BUSINESS

- Ms. Julie Leung noted she had two items of other business for the Council.
  - In the September 2, 2011 issue of the *Texas Register*, Ms. Leung noted that a change in the records retention schedule was being proposed. Ms. Leung noted that information in the preamble to the rule filing did not correspond to the schedules being proposed and asked for clarification.
  - Additionally, Ms. Leung inquired about the Texas Court Records Preservation Task Force report.
- Ms. Sarah Jacobson confirmed there was a discrepancy between the preamble text and the attached figures in the September 2, 2011 proposed rule published in the *Texas Register*.
  - The Texas State Library and Archives Commission (TSLAC) received a petition to increase the retention period for administrative correspondence to five years and general correspondence to four years. Discussions with the petitioner outlined the petitioner's concerns that with the current retention period of three years, most elected officials and some appointed

officials were disposing of correspondence before the end of their term. A new record series for executive correspondence was proposed with a retention period of four years to balance the petitioner's concerns against the additional burden of retaining correspondence for a longer time period, Ms. Jacobson said.

- o Comments regarding the proposal should be directed in writing or by email to Ms. Nanette Pfiester, Ms. Jacobson noted.
- o Ms. Leung asked if a similar change was being made to the local retention schedule, and Ms. Jacobson noted it was.
- o Ms. Cathy Nelson Hartman noted that there had been a lot of discussion about this change. The previous schedule's retention period was not as long as the applicable statute of limitations, which was another reason it was asked to be extended.
- o Ms. Kim Scofield asked why a four-year and not five-year retention period was chosen. Ms. Jacobson noted the petitioner wanted a five-year period, but that four years was felt to be sufficient to meet the statute. Ms. Hartman noted the four-year period was a compromise reached after discussions with the petitioner. Ms. Scofield indicated the additional year buffer in a five-year retention period might be worth the cost of maintaining the records an additional year. She thought there might be a better way to retain records only relating to such elected and appointed officials for an additional time period without affecting other correspondence.
- o Ms. Jacobson noted that the proposed rule was still open for public comment. Comments received will be presented to TSLAC at the commission's next meeting on October 13, 2011.
- In response to Ms. Leung's question, Ms. Jacobson presented an overview of the Texas Court Records Preservation Task Force's report.
  - o The Texas Court Records Preservation Task Force was created in 2009. Over the past two years, the task force has done site visits at courts across Texas. The task force will present its report to the Supreme Court of Texas on September 26, 2011.
  - o The task force's focus was on preserving 19th and early 20th century court records, Ms. Jacobson noted. Fundraising efforts for court records preservation are planned by the State Bar of Texas as well as training on records preservation to be provided by TSLAC.
  - o About 20 sets of records will be presented to the Supreme Court of Texas at the September hearing. These records showcase the optimum in court records preservation, Ms. Jacobson said.
  - o Ms. Peggy D. Rudd noted the task force found a wide range of conditions present in court records archives throughout Texas, and drew the Council's attention to some of the photographs included in the task force's report. Ms. Rudd noted that TSLAC is interested in many more state records other that just court records. She noted

the task force has raised the visibility of the records retention programs currently being conducted at TSLAC.

o Ms. Rudd noted that the 20 items chosen to present to the Supreme Court of Texas required about $20,000 to be raised for their preservation. While everyone would agree that these items should be preserved, not every record has this kind of universal recognition of its value, Ms. Rudd said.

o Ms. Rudd indicated the new president of the State Bar of Texas has made preservation of local court records the focus of his term of office, and plans to lead a fundraising campaign for that purpose.

o Question have been raised about the use of filing fees for records preservation at the local level, Ms. Rudd said. She noted some counties are using fees collected appropriately and some may not be. An apparent lack of accountability for the funds exacerbates the issue. Additionally, some counties simply do not collect enough revenue from filing fees to offset the cost of records preservation.

o The task force's report raises awareness and focuses attention on the issue of records preservation, Ms. Rudd said.

o Ms. Hartman asked if the report discussed digitization of the records. Ms. Rudd noted that the task force is aware of the complexities involved in readying records for scanning and being able to retrieve the information in a logical manner once it is scanned. Digitizing involves much more than simply photocopying the information. Ms. Hartman noted digitization allows the records to be used by a larger audience while still preserving the original record.

o Ms. Rudd noted the training to be provided will focus on more than just physical storage of records. It will include information about planning and implementing digitization of records, and what records should be archived and what should not.

o Ms. Hartman noted that such records preservation should be looked at on a broader scale rather than on a county-by-county basis.

o Ms. Jacobson indicated the hearing will be held Monday, September 26, 2011, from 2-5 p.m. at the Supreme Court.

o Mr. Todd Kimbriel noted that Texas.gov has digitized about 32 million birth and death records for Texas dating back to about 1890-1900. The records are available through the Texas.gov website for retrieval. Mr. Kimbriel noted this was possible because the Texas Department of State Health Services (DSHS), not individual counties, owned these records. Records are filed locally, but a copy is forwarded to DSHS. Ms. Nanette Pfiester noted the fee for copies of birth and death records had been increased to fund the digitization project. Individuals can access their own records or records of other family members within certain criteria, Mr. Dan

Procter noted. Mr. Kimbriel added that marriage and adoption records may be available in the same manner in the future.

VI.   PUBLIC COMMENT

No public comment.

In the absence of any further business, the meeting stood adjourned at 11:35 a.m.

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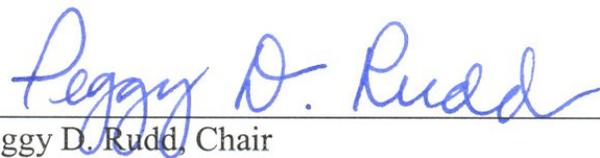
Peggy D. Rudd, Chair
Records Management Interagency Coordinating Council