MINUTES
RECORDS MANAGEMENT INTERAGENCY COORDINATING COUNCIL
MEETING
December 6, 2011

The Records Management Interagency Coordinating Council (RMICC or Council) held a meeting on Tuesday, December 6, 2011 at the Lorenzo de Zavala State Archives and Library Building, 1201 Brazos Street.

MEMBERS PRESENT

Cathy Nelson Hartman, Member
Margaret Hermesmeyer (representing Kim Scofield), Member
Sarah Jacobson (representing Peggy D. Rudd), Member
Julie Leung, Member
Hope Morgan, Member
Dan Procter, Member
Stephen Quick, Member

MEMBERS NOT PRESENT
Doug Holt, 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
Angela Ossar, Texas State Library and Archives Commission
Nanette Pfiester, Texas State Library and Archives Commission
Laura Saegert, Texas State Library and Archives Commission

I.   CALL TO ORDER

A quorum being present, acting chair Mr. Dan Procter called the meeting to order at 10:31 a.m.

II.   APPROVAL OF THE SEPTEMBER 13, 2011 MINUTES

Minutes to the Council meeting held September 13, 2011, were approved as follows:

MOTION made by Ms. Cathy Nelson Hartman, seconded by Mr. Stephen Quick, and carried unanimously to approve the minutes of the meeting of the Records Management Interagency Coordinating Council held September 13, 2011, as presented.

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

- Ms. Jan Ferrari presented the report from the Best Practices Committee. The committee meets bimonthly to assess issues, trends and needs in the management of digital information. The committee met the week before the Council meeting.
- The three working groups of the committee (E-Records Management, E-Mail Management and Social Media Management) continue to research their topics.
- The committee is developing a report to provide input to the legislature. The report is due in June.
- The committee is developing a survey of statewide records managers. However, committee members have indicated many records managers are feeling oversurveyed. The survey being developing by the committee is similar to the University Records Management Committee survey. Additionally, Ms. Ferrari noted that ARMA, AIM and IRDR also had surveys during the past few months. The committee will review the survey they are developing and compare it with the other surveys recently released. Ms. Ferrari she felt it was necessary for the committee to have their own survey to gather all of the needed information for the committee's report, rather than just reviewing surveys from the other groups. Additional work sessions may be necessary to review the surveys and decide if there are additional questions needed for the committee's survey.
- The E-Mail Management Workgroup had finalized an outline for its report on current findings, challenges, issues, resources and effective practices regarding its topics. Workgroup members have been given writing assignments with staggered deadlines with a goal of finishing a draft report early in 2012.
- Elements of the E-Mail Management Workgroup report will include:
    o Prevailing trends in e-mail management
    o Legal considerations
    o Policy implementation
    o Model policies, including a template that includes policies from Texas Department of Family and Protective Services, (DFPS) Texas State Library, Texas Water Development Board, ARMA and Department of Information Resources (DIR)
    o Financial Impact
    o Policy Governance

- E-Mail Management Workgroup members have explored the maturity of various approaches to e-mail archiving, including auto-archiving, cloud-based systems, in-house software and manual archiving with modified "buckets" for structure.
- The E-Records Management Workgroup continues to make progress on its deliverables:
    - A report on ERM key issues facing records management offices at public entities, with recommendations for updating related standards, documents, and website links
    - A toolkit of web resources for records and information managers. The toolkit will include links to
        - Associations
        - Federal, state and other guidelines
        - Journals and publications
        - Applicable federal, state and other statutes
        - Rules expressed in the *Texas Administrative Code* and agency policies
        - Sample forms and policies
        - Related standards
        - Training
- The Social Media Management Workgroup has begun research to develop a guide for state agencies entitled "How to Capture Social Media". A document plan with writing assignments is anticipated in late December or early January.
- The Social Media Management Workgroup is participating in a review of an updated, draft social media policy from DIR. The document seeks to establish a clear statewide policy for using social media tools to conduct official state business. The workgroup is compiling recommendations for delivery to Mr. John Lee at DIR.
- Ms. Ferrari gave a summary of the Best Practices Committee purpose and background. The committee is to:
    - Develop best practices for managing digital information using appropriate information technology and management practices for efficient conduct of state business while drawing on available resources, and
    - Make recommendations to the Texas State Library and Archives Commission (TSLAC)
- In fulfilling its purpose, the committee will develop best practices for the management of existing electronically stored information, information architecture and governance for the life-cycle management of future electronic information, and long-term preservation of electronically stored information with historical value.
- The Best Practices Committee goals for the 2011-2012 biennium are:
    - To identify best practices in standards and information architecture for managing digital information at Texas' agencies, educational institutions and other entities.

- To specifically examine and report on areas of e-mail management, e-records management and social media records management.
  - To recommend actions that encourage access, choice, interoperability, cost-effectiveness and appropriate government control.
- Ms. Laura Saegert of TSLAC raised a concern about the lack of an archival presence in the committee membership. Ms. Ferrari noted that new members representing such a presence would be welcomed by the committee, and asked Ms. Saegert if she would like to volunteer for the committee.
- Ms. Hope Morgan asked if there were any lawyers included in the Social Media Management Workgroup. Ms. Sarah Jacobson of TSLAC noted that while the Best Practices Social Media Workgroup membership does not include a lawyer, a similar workgroup at DIR has an entire legal team included in its membership. Ms. Morgan noted that legal feedback might be helpful to the workgroup, and that legal concerns regarding social media policy had been raised in her agency. Ms. Ferrari agreed with Ms. Morgan and asked members if there was anyone they would recommend to be included in the membership.
- Mr. Dan Procter asked if there was anything the committee needed from the Council at this time. Ms. Ferrari asked for recommendations for additional committee members from the Council. She indicated she had asked Ms. Margaret Hermesmeyer to attend committee meetings, and noted that Ms. Hermesmeyer is part of a similar best practices workgroup with ARMA. Ms. Ferrari noted the committee's work on the survey of statewide records managers would benefit from review by additional new committee members. Ms. Ferrari noted that Ms. Peggy D. Rudd had been sent a draft of the survey, but the survey had not been distributed to the full Council membership because it was not yet approved by the Best Practices Committee membership.
- Ms. Cathy Nelson Hartman concurred with the need for an archivist perspective on the committee, with an emphasis on digital preservation. Ms. Angela Ossar of mentioned that Ms. April Norris had approached her at the e-records conference and indicated her willingness to contribute to the committee. Ms. Norris is on the staff of the University of Texas School of Information, and her focus is digital preservation.
- Ms. Nanette Pfiester introduced herself as the leader of the E-Records Management Workgroup. The workgroup is currently comprised of six members – three from universities, one from the courts and two from TSLAC. At the Best Practices Committee meeting, Ms. Pfiester reiterated a call for more members and a more balanced membership. She noted it would be beneficial for each member agency of the Council to have a representative on the Best Practices Committee.
- Ms. Pfiester indicated she had asked the Best Practices Committee to request a call for additional membership from the Council. Mr. Procter asked if there was a deadline for volunteers to contact the committee, and

Ms. Morgan asked who volunteers should contact. Ms. Pfiester noted the Best Practices Committee is chaired by Ms. Ferrari and Mr. T.J. Wasden of DFPS, and added that a request to the Council for a call for more membership would come from them as co-chairs.

- Ms. Pfiester noted there are topics in the recently released state strategic plan that are relevant to the Best Practices Committee workgroups, and added that membership representing DIR on the committee would be of benefit. Additionally, Ms. Pfiester noted the recently completed IRDR did not include the 40 question annex requested by the Council as it did in the 2009 IRDR. The current IRDR includes questions of relevance to records managers throughout the review, and surveys all the state agencies and universities.

- Mr. Procter asked if it would be helpful for the Council chair to put out a call for membership that includes more details about what type of members the committee needs. Ms. Ferrari indicated that such a call is being drafted.

- Ms. Ferrari reminded the Council that the Council had requested a draft report from the committee by June. In order to meet the June deadline, the committee's survey needs to be ready to be distributed by March. Having new members in place on the committee prior to March to review the survey would be helpful, she said. Any call for new members should be made quickly to get new members in place before March.

- Ms. Pfiester added that committee member Mr. Dusty Norwood of The University of Texas Medical Branch at Galveston (UTMB) had mentioned a couple of possible new members. Ms. Saegert noted that her agency would be hiring an electronic records specialist in 2012, and that person would be an asset to the committee as well.

- Mr. Procter asked the meeting attendees consider who would be good volunteers for the committee from their agencies, and that a call for membership should be forthcoming in the next few days. Ms. Pfiester noted that the committee would set up a meeting in January to begin developing materials for the report due in June.

- Ms. Hartman asked if the members of the committee would be interested in site visits to places that have complete lifecycle management and a long-term preservation system set up. Ms. Ferrari noted that she will be visiting the University of North Texas on December 16.

- Ms. Morgan noted that her agency is looking at moving toward cloud-based e-mail. She added that DFPS is using such a system already, as are several other agencies. Ms. Hartman noted that DIR is also using a cloud-based system. Ms. Morgan suggested that collaboration among agencies considering cloud-based systems might make such systems more affordable. Mr. Procter asked who the cloud provider would be, and Ms. Morgan noted that it was Microsoft. Mr. Procter noted that DIR had contracts with several vendors for cloud services.

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

- Mr. Chris Foster shared information with the Council from a presentation Mr. Foster and Ms. Sarah Jacobson gave at the e-records conference to the university records managers in attendance at the conference. The presentation included information received from the survey distributed by the Universities Records Management Committee (URMC) to university records management officers and records management program managers earlier in the year.
- The URMC Steering Group developed the survey. The survey questions were based on modified GARP principles. For instance, a section on technology was added that is not addressed by the GARP principles.
- The survey included a total of 46 questions, but not all questions were answered by each respondent. Respondents' answers to each survey question determined what further questions were offered for their review.
- The survey period began in August and ended in October. Some respondents also submitted additional documents to the committee to expand on the information presented in the survey. A total of 25 universities and/or their university systems responded to the survey. Some respondents chose to answer the survey at the system level as the answers were the same for all of their member institutions. The committee felt that the level of response to the survey was adequate.
- The URMC Steering Group analyzed the survey responses and used them to develop proposed directions for the committee. Nine directions were developed.
- The committee would like to grow its membership. Ms. Margaret Hermesmeyer recently joined the URMC Steering Group, expanding the group to seven total members. Each member represents a different area of expertise. Each member of the steering group will be chairing a subcommittee for one of the nine proposed directions for the group.
- Mr. Foster indicated the first proposed direction for the group is records management policies and procedures. He noted this direction includes such items as roles and responsibilities, creating needed partnerships within the university, and key elements of performing job duties such as developing a records retention schedule or training schedules. Ms. Maryrose Hightower-Coyle will chair this subcommittee, Mr. Foster said.
- The second subcommittee concerns the role and scope of a university records management program. As the URMC has conducted its research, they have found that some records managers have total control of every aspect of their records management program while some have responsibility for only limited areas such as risk management. This subcommittee will focus on resources and staffing levels needed for each level of a records management program. Mr. Foster will chair this subcommittee.

- The third subcommittee will focus on coordination of records management requirements. This subcommittee will focus on communication among records managers, program managers and staff in a decentralized environment. Mr. Foster and Ms. Jacobson will chair this subcommittee.
- The fourth subcommittee concerns records management training. The subcommittee will focus on streamlining training, and creating training modules. Such modules could be incorporated by all university records management programs rather than creating training from scratch each time a new staff member or program is brought on board. Additionally, the subcommittee will consider what is the most effective training, including incorporating online training as opposed to classroom training and creating a knowledge base. Ms. Hightower-Coyle will chair this subcommittee.
- Mr. Foster noted that the fifth and sixth subcommittees may include collaboration with the Best Practices Committee. Those two subcommittees will focus on requirements for electronically stored information and e-mail management, respectively. Mr. Foster noted that the need for these subcommittees was apparent in the responses received from the survey distributed to records managers. He added that he expects these subcommittees to collaborate with the Best Practices Committee, and then take the information gathered by the Best Practices Committee and adjust it to fit a university setting as appropriate. For example, an e-mail management policy might need to be expanded for a university as there is a wider range of e-mail records created in a university setting.
- The seventh subcommittee concerns archival processes and appraisal. This subcommittee will be chaired by Ms. Angela Ossar and Ms. Kris Toma, who are both archivists. This subcommittee will focus on such areas as appraisal criteria, digital archives, and collaboration among records managers and archivists.
- The eighth subcommittee will focus on records management advisory committees. Mr. Foster indicated the survey results on this subject surprised the URMC. Many survey respondents indicated there is no committee or group in their organization that discusses or focuses on records management. Many universities have these kinds of discussions on a one-on-one level between stakeholders and records managers, with such discussions focused on completing a specific task. Having a records management advisory committee enables more efficient collaboration and decision making on a campus-wide level. The subcommittee will focus on a sample charter and membership requirements for records management advisory committees.
- The last subcommittee concerns social media. This subcommittee will collaborate with the Best Practices Committee as well, Mr. Foster said. Use of social media is growing in the university environment, and records managers are struggling with how to preserve such information. Ms. Jacobson will chair this subcommittee and is exploring this topic as a member of the Best Practices Committee as well.

- The URMC has been assisting TSLAC in creating a university records retention schedule (URRS). Ms. Ossar said significant progress has been made on this project. A total of 363 records series have been entered into the JIRA tracking system. These records represent 11 broad categories of records that are unique to university systems and functions that do not appear on the current state records schedule. The university records retention schedule is meant to complement the state records schedule, Ms. Ossar noted.
- Many records created by universities are already included in the TSLAC local schedules, Ms. Ossar said. She noted all of the applicable local schedules were noted in the JIRA tracking system as well for future reference.
- By January 1, the draft URRS will be compared to American Association of Collegiate Registrars and Admissions Officers (AACRAO) standards. The goal is to cite any applicable AACRAO standards for retention periods. Ms. Ossar noted that the local records schedule for junior colleges is based on the AACRAO standards.
- Additionally, URRS Category E (Intercollegiate Athletics) will be compared to NCAA and NAIA guidelines.
- The URRS will be benchmarked against other Texas university schedules by the URMC. In addition, the URRS will be benchmarked against other state university system schedules. Mr. Dusty Norwood of UTMB has offered his reference database of more than 5,000 records series to complete this benchmarking.
- After benchmarking is complete, the entire URMC will discuss the URRS. Mr. Foster noted the JIRA tracking system makes this process easier by allowing URMC members to log in to the system at any time and benchmark their own records series. Ms. Ossar noted that the group would like input about the URRS from as many university systems as possible, but at least from the larger institutions in Texas.
- Mr. Foster noted that the creation of the URRS and the nine proposed directions is a milestone for the URMC. He anticipates greater participation from the URMC members as a whole and additional collaboration with the Best Practices Committee.
- Ms. Julie Leung asked if there were any plans to allow electronic submission of the records retention schedules by agencies. Ms. Jacobson noted that there were ongoing discussions but no specific plans for electronic submission at this time.
- Ms. Hope Morgan noted that Council member Doug Holt had resigned from DIR and would need to be replaced on the Council. She noted that as DIR looks at negotiating new data center contacts, storage space for records is an ongoing consideration. Records management storage requirements can differ from production application storage requirements, she noted.
- Ms. Morgan noted the federal government is making a push towards electronic medical records, and large amounts have been spent on

encouraging health professionals to convert to electronic records. She indicated she hoped such conversion to electronic medical records would be adequately addressed in the URRS as well as the Texas State Records Retention Schedule. Mr. Foster noted that representatives from both UTMB and The University of North Texas Health Sciences Center were represented on the URMC.

- Mr. Dan Procter complimented the URMC on the amount of work accomplished since the last Council meeting. Mr. Foster noted that the URMC was satisfied with the nine subcommittees, and had anticipated there might be more subcommittees needed at one time. Mr. Foster again mentioned the URMC will be recruiting new members, and asked for suggestions for new members. He noted the recent addition of Ms. Hermesmeyer as a member and added what an asset he thinks she will be to the URMC. Ms. Ossar noted that there is clear interest in the URMC as evidenced by the response at the e-records conference and the responses to the URMC survey. Many survey respondents indicated their interest and need for a URRS, Mr. Foster said.

V.   AGENDA ITEM 4 – DISCUSSION OF MEETING DATES FOR 2012

- Mr. Dan Procter brought the proposed schedule of meeting dates for 2012 to the Council's attention. Members who had a conflict with any of the dates should notify the Council chair or vice-chair. Ms. Cathy Nelson Hartman noted that it was helpful to her and others traveling from out of town for Council meetings to know the meeting schedule as far in advance as possible.
- Ms. Hartman asked about finalizing the dates for 2012. Mr. Procter indicated that with a quorum present, the Council could vote on the proposed meeting schedule. Ms. Hartman asked if the chair had been consulted on the dates. Mr. Procter indicated she had been. Mr. Procter then asked for discussion about the proposed meeting dates.
- Ms. Hope Morgan again reiterated the concern that there is not a representative from DIR on the Council due to Mr. Doug Holt's resignation from DIR. Mr. Procter noted that Mr. Todd Kimbriel had represented Mr. Holt at the past few Council meetings. Ms. Morgan indicated her willingness to contact Mr. Kimbriel in regards to DIR representation on the Council.
- **MOTION** made by Ms. Cathy Nelson Hartman, seconded by Ms. Hope Morgan, and carried unanimously to approve the meeting schedule for 2012 as presented.

VI.   OTHER BUSINESS

- Ms. Julie Leung asked if there was any information about the Texas Court Records Preservation Task Force. She noted the task force had met shortly after the last Council meeting.

- Ms. Laura Saegert of TSLAC noted the task force met on September 26 with the Supreme Court of Texas. The task force's report is available on the Supreme Court's website and is entitled "Report on the Preservation of Historical Texas State Court Records".
- At the meeting, task force chair Bill Kroger presented the report to the Supreme Court and showed the dismal condition of court records preservation in several Texas counties. The task force raised $20,000 to preserve 20 court records it found to be historically significant and in danger of deterioration. After the meeting, a reception was held at the State Bar of Texas to showcase the items.
- Ms. Saegert noted she had been a member of a subcommittee on the task force focused on preservation. Task force member Mr. Mark Lambert of the General Land Office created a Powerpoint presentation about every preservation techniques. Additionally, the subcommittee created three informational publications available on the Supreme Court website concerning preservation tips, care and handling of archival materials, and preservation of archival materials.
- Ms. Martha Doty Freeman, commissioner of TSLAC, commented to the task force about the historical value of court records. At the reception, former United States Secretary of State James Baker spoke about the importance of preserving court records as well.
- Ms. Saegert indicated the task force has been extended for one year, and will work with TSLAC and the State Bar to create training seminars and webinars for district and county clerks. Training would be held in conjunction with the annual county and district clerk conference and could be presented at regional repositories as well.
- Ms. Saegert noted that there has been significant response to the recently proposed district court retention schedules and storage standards. The storage standards include information on minimum, good, and optimum storage standards.
- The task force wants to focus on digitization as well as preservation of court records, Ms. Saegert said. There are a number of contracted vendors that provide these kinds of services, she said. A contact list for these services is being prepared for distribution to clerks.
- Additionally, the task force wants to raise public awareness of the importance of preserving court records. The March issue of the Texas Bar Journal will be devoted to this subject matter, Ms. Saegert noted. The 20 items selected by the task force for preservation will be shown at the annual county and district clerks' conference this year, and may be exhibited at the Bob Bullock Texas State History Museum in 2014, she said.
- The task force is working with the Office of the Attorney General to develop a hotline for clerks to call if they believe a court record has been stolen. The task force is developing better methods for retrieval of stolen documents. Documents taken out of state are especially difficulty to retrieve, Ms. Saegert said.

- Ms. Morgan asked about state ownership of records. She noted that in some cases such as real estate records, the records are privately owned by the organization that digitized the records. Ms. Saegert concurred that that was an important question to be addressed, and added that many clerks were unaware of the regional repository system available to the courts through TSLAC. Many courts transferred records to the regional repositories in the 1970's and 1980's, and current court staff members may or may not be aware that such transfers were done.
- Ms. Sarah Jacobson noted the proposed storage rules that TSLAC had developed have been published in the *Texas Register* and are open for public comment. The comments received will be discussed at the January TSLAC meeting. Ms. Saegert noted that the task force would be holding a conference call on December 8 and would be discussing the rules as well.
- Ms. Leung asked about the Texas Bar Journal publication regarding the task force. Ms. Saegert said the publication will focus on the task force with the goal of disseminating the information about the task force and obtaining additional fund raising.
- Ms. Saegert noted that she is the TSLAC representative on the task force, and invited the Council to e-mail her if they had additional questions about the task force.

VII.   **PUBLIC COMMENT**

- Ms. Nanette Pfiester indicated that on November 28, President Barak Obama issued a presidential memorandum regarding managing government records. The memorandum contains directives to federal agencies regarding transparency and openness in government. Federal agencies have been directed to report to the National Archives and Records Administration (NARA) as well as the Office of Management and Budget (OMB) about how they are meeting their records management requirements. In turn, NARA and OMB will report to the President and Congress.
- Ms. Hope Morgan asked if the proposed storage rules addressed physical storage only. Ms. Sarah Jacobson indicated the current proposed rules addressed storage of paper records only, but rules addressing electronic records could be updated in the next year.
- Mr. Dan Procter noted that management and updating of the Council website had moved from TSLAC to the Office of the Secretary of State's office.

MOTION made by Ms. Hope Morgan, seconded by Ms. Cathy Nelson Hartman, and carried unanimously to adjourn the meeting. The meeting stood adjourned at 12:02 p.m.

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Peggy D. Rudd, Chair
Records Management Interagency Coordinating Council