

**Records Management  
Interagency Coordinating Council**



**Biennial Report**

**2009-2010**

**October 2010**



**Records Management  
Interagency Coordinating Council**

**Biennial Report 2009-2010**

**Council Members and Delegates**

**Interim Chair, Cathy Nelson Hartman, Associate Dean of Libraries**

University of North Texas

*Representing Texas universities, serving as auxiliary voting member*

**Dan Procter, Texas Register Director**

Office of the Secretary of State

*Representing the Secretary of State*

**Peggy Rudd, Director and Librarian**

State Library and Archives Commission

*Representing the State Library and Archives Commission*

**Doug Holt, Deputy Executive Director**

Department of Information Resources

*Representing the Department of Information Resources*

**Kim K. Scofield, Division Chief and Records Management Officer**

Office of the Attorney General

*Representing the Attorney General*

**Stephen Quick, Records Management Officer**

Office of the Comptroller of Public Accounts

*Representing the Comptroller of Public Accounts*

**Julie Leung, Audit Research Specialist**

Texas State Auditor's Office

*Representing the State Auditor, who serves as a non-voting member*

**Hope Morgan, Information Resources Manager**

Health and Human Services Commission

*Serving as auxiliary voting member*

**Simon Skedd, Network Manager**

Texas Department of Licensing and Regulations

*Serving as auxiliary voting member*



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## Part I: Executive Summary

With the requirement for state agencies to manage and preserve growing quantities of digital state records, RMICC's work in the past biennium focused in five areas:

1. Discussion of a central repository for permanent state electronic records,
2. Revision of RMICC Charter and Bylaws to clarify its mission and responsibilities,
3. Examination of best practices for managing digital information,
4. Examination of the records management issues faced by state universities, and
5. Support for training opportunities for state records managers.

### 1. Central Repository for Permanent State Electronic Records

The current state of electronic records management in Texas has reached a crisis stage. Electronic records and information management practices across state agencies and universities vary widely, and agencies that coordinate technology planning do not exhibit consistent practices. Information gathered by the Best Practices Committee and extensive discussions by RMICC members point to the need for a centralized repository for managing and preserving permanent state electronic records.

A 2009 study of State Library and Archives Commission's (TSLAC) archival storage needs urged the agency to establish a digital preservation program for Texas archives. In July 2010, the State Auditor's office released an audit of TSLAC's State Records Center (SRC) that recommended the agency "study options for increased electronic record storage for noncurrent, infrequently used hard-copy records." In recent years, several state agencies have also requested support for electronic records and archives. TSLAC, where many state records in paper are managed and preserved (SRC), will request funding in the coming 82<sup>nd</sup> Legislative Session to research, develop, and implement a state electronic records repository for state agencies to deposit their permanent state records. Research in the area of curation of digital files advanced significantly in the past five years with development of best practices for managing, storing, protecting, creating supporting metadata, replication, and migration of data. A repository to support such activities requires specialized knowledge and resources not generally available in state agencies. A centralized digital repository should enable the preservation of valuable state records in the most economical way. More information about the LAR Exceptional Item Request is available in Appendix D.

#### RECOMMENDATION:

**RMICC recommends support for the Library and Archives Commission 2012-2013 LAR Exceptional Item Request.**

### 2. Revision of RMICC Charter and Bylaws

This year RMICC drafted a new Charter to better document its structure, administrative procedures, and on-going projects. Its purpose is to clarify the Council's mission and to provide more detailed guidelines for the organization's roles and responsibilities. RMICC recommends minor amendments to the Government Code section 441.203(b).

#### RECOMMENDATIONS:

**(1) Amend Government Code section 441.203(b) as shown in the draft below to omit the term "permanent" from this sentence:**

*"The position of presiding officer rotates among the [~~permanent~~] members of the council according to the procedures adopted by the council."*

**This change will allow auxiliary members of RMICC to be elected as chair of the Council, granting the potential to share leadership on the council to a broader range of state agencies.**

(2) Amend Government Code section 441.203(j) by striking subsection (j) concerning state agency listings in telephone directory Blue Pages. RMICC completed this task in 1998, and the availability of printed telephone directories has decreased during the past decade.

~~[(j) The council shall categorize state agency programs and telephone numbers by subject matter as well as by agency. The council shall cooperate with the Texas Information and Referral Network under Section 531.0312 to ensure that the council and the network use a single method of defining and organizing information about health and human services.]~~

See Part III for complete discussion and recommendations.

### **3. Best Practices for Managing Digital Information Committee**

A committee with membership from agencies and universities is examining best practices related to standards and information architecture for managing digital information. The Committee includes three workgroups:

- 1) **Texas Workgroup** — Identifies Texas regulations and standards for managing electronic records and current practices for managing data and information in Texas government.
- 2) **Technology Workgroup** — Develops best practices for information architecture and governance for the life-cycle management of future electronic information.
- 3) **National/International Workgroup** — Identifies guidelines, standards, regulations, and best practices on managing electronic records from professional organizations, standards setting bodies, other states and countries.

The committee recently received data included in a Department of Information Resources (DIR) survey of IT staff in state agencies. Analysis of the data showed that common data and information management practices in state agencies and universities vary widely. Agencies that coordinate technology planning did not exhibit consistent practices among themselves. A complete overview of the work by this committee may be viewed in Appendix A of this report. Additional work will continue into the next biennium to complete the ambitious work plan outlined, but the committee has already gathered meaningful information of use to RMICC.

### **4. University Records Management Committee:**

With interest from records managers at state universities, RMICC formed this committee in the summer of 2010 with the following goals:

- 1) **To perform an analysis of the status of records management programs** in Texas' higher education institutions, while serving as a tool for strengthening communication and encouraging collaboration among records management professionals; and
- 2) **To develop best practices for the development of a model university records management program** which could be used in the creation of new records management programs and also the assessment and strengthening of existing programs in higher education institutions within Texas; and
- 3) **To make recommendations** to the State and Local Records Management Division of the State Library and Archives Commission (TSLAC).

Records managers representing 14 state universities and the State Library and Archives Commission will participate in the work of the committee. For further discussion of the work undertaken by this committee, see Appendix B.

### **5. Training Opportunities:**

The State Library and Archives Commission / State and Local Records Management Division offered many opportunities for training for e-records managers in state agencies and in local governments across the state with some classes available online or as webinars. See Appendix C of this report on page 49 for a listing.

## Part II. Background

The Records Management Interagency Coordinating Council (RMICC) was established by Senate Bill 366 of the 74th Legislature. It replaced the State Library and Archives Commission's Records Management and Preservation Advisory Committee, which was abolished by the same act. During the 75th Legislative Session, the RMICC's responsibilities were expanded to implement Senate Bill 897. During the 78<sup>th</sup> Legislative Session, the RMICC's members were expanded to include one faculty member of a public senior college or university and two executive branch state agency information resource managers.

The Council is composed of the following officers or the officer's designee:

- (A) the Secretary of State;
- (B) the State Auditor, who serves as a nonvoting member;
- (C) the Comptroller of Public Accounts;
- (D) the Attorney General;
- (E) the Director and Librarian, State Library and Archives Commission;
- (F) the Executive Director, Department of Information Resources; and
- (G) auxiliary voting members appointed by the chair of the council with the consent of a majority of the permanent members of the council. The auxiliary voting members are composed of the following:
  - (1) one faculty member of a public senior college or university, as defined by the Education Code, §61.003, who has demonstrated knowledge of records and information management; and
  - (2) two individuals who serve as information resources managers, under the Government Code, §2054.071, for state agencies in the executive branch of government.

### **The Council is charged to:**

- (1) review the activities of each member agency that affect the state's management of records;
- (2) study other records management issues; and

- (3) report its findings and any recommended legislation to the governor and the legislature.

### **Mission Statement:**

The RMICC coordinates the management of government records by:

- Informing the legislature on records management issues and making recommendations to improve records management processes and accountability;
- Facilitating the transition from paper to electronic records; and
- Developing consistent records management in state agencies.

## Part III. Administrative and Recommended Statutory Updates for RMICC

### Progress Report

This year RMICC drafted a new Charter to better document its structure, administrative procedures, and on-going projects. Its purpose is to clarify the council's mission and to provide more detailed guidelines for the organization's roles and responsibilities. The Charter is divided into the following sub-topics:

- Purpose
- Mission
- Authority
- Statutory Responsibilities
- Membership
- Roles and Responsibilities
- Administrative Operations
- Additional Administrative Responsibilities (Council Operations)
- Work Projects
- Charter Maintenance
- Definition

To update RMICC's existing administrative rules (13 Texas Administrative Code, Chapter 50) with the new Charter document, the rules are being repealed in order to replace them with a new draft which closely tracks the topics in the Charter.

### RECOMMENDATIONS

(1) Amend Government Code section 441.203(b) as shown in the draft below to omit the term "permanent" from this sentence:

*"The position of presiding officer rotates among the [~~permanent~~] members of the council according to the procedures adopted by the council."*

This change will allow auxiliary members of RMICC to be elected as chair of the Council, granting the potential to share leadership on the council to a broader range of state agencies.

(2) Amend Government Code section 441.203(j) by striking subsection (j) concerning state agency listings in telephone directory Blue Pages. RMICC completed this task in 1998, and the availability of printed telephone directories has decreased during the past decade.

~~[ (j) The council shall categorize state agency programs and telephone numbers by subject matter as well as by agency. The council shall cooperate with the Texas Information and Referral Network under Section 531.0312 to ensure that the council and the network use a single method of defining and organizing information about health and human services. ]~~

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## **New RMICC Charter:**

# **RECORDS MANAGEMENT INTERAGENCY COORDINATING COUNCIL (RMICC) Charter**

Approved by RMICC on March 4, 2010

## **Purpose**

This Charter sets forth the operating procedures for the Records Management Interagency Coordinating Council (RMICC). RMICC was created by the Texas State Library and Archives Commission's 1995 Sunset reauthorization legislation (SB 366) as the successor to the now-abolished Records Management and Preservation Advisory Committee.

The purpose of this Charter is to define the mission, authority, statutory responsibilities, membership, roles and responsibilities, administrative operations, Council operations, communication, work projects and charter maintenance for RMICC.

## **Mission**

The Records Management Interagency Coordinating Council coordinates the management of state government records by:

- informing the legislature on records management issues and making recommendations to improve records management processes and accountability;
- facilitating the transition from paper to electronic records; and
- developing consistent records management in state agencies.

## **Authority**

RMICC derives its authority from the Government Code §441.203.

To implement its policies, the council shall adopt rules as prescribed under the Government Code, §441.203 and under the Administrative Procedure Act, Government Code, Chapter 2001.

State agencies are required to cooperate with the council in the performance of its duties.

## **Statutory Responsibilities**

The Council reviews the activities of each permanent member agency that affect the state's management of records; studies other records management issues; and reports its findings and any recommended legislation to the governor and the legislature not later than November 1 of each even-numbered year.

The Council shall adopt policies that coordinate the activities of each permanent member agency and that make other improvements in the state's management of records.

Each permanent member agency shall adopt the policies adopted under Subsection (f) as the permanent member agencies' own rules, except to the extent that the policies conflict with other state or federal law.

Each permanent member agency shall report on the agency's adoption and implementation of rules under Subsection (g) to the Council not later than October 1 of each even-numbered year.

The Council shall categorize state agency programs and telephone numbers by subject matter as well as by agency. The Council shall cooperate with the Texas Information and Referral Network under Section 531.0312 to ensure that the Council and the network use a single method of defining and organizing information about health and human services.

## **Membership**

### **Permanent Members**

The Records Management Interagency Coordinating Council is composed of permanent and auxiliary voting members. Permanent members consist of the following officers or the officer's designee:

- The Secretary Of State;
- The State Auditor, Who Serves As a Nonvoting Member;
- The Comptroller of Public Accounts;
- The Attorney General;
- The Director and Librarian; and
- The Executive Director of the Department of Information Resources.

### **Auxiliary Members**

Auxiliary voting members consist of one faculty member of a public senior college or university who has demonstrated knowledge of records and information management; and two individuals who serve as information resources managers for state agencies in the executive branch of government.

### **Term of Office**

The position of presiding officer rotates among the permanent members of the Council according to the procedures adopted by the Council. A term as presiding officer is two years and expires on February 1 of each odd-numbered year.

The chair and vice-chair shall serve for two years, beginning on February 1 of each odd-numbered year.

No member shall serve more than two consecutive full terms in any one office.

### **Council Service**

Service on the Council is an additional duty of a member's office or employment. A member of the Council is not entitled to compensation, but is entitled to reimbursement of travel expenses incurred by the member while conducting the business of the Council, as provided in the General Appropriations Act.

### **Council Staff**

The Council's permanent member agencies shall provide the staff for the Council.

## **Roles and Responsibilities**

### **Members**

- The members shall nominate and elect a chair and a vice chair during even-numbered years.

- A member who is unable to attend a meeting shall notify the chair before the meeting, and if possible send a designee to the meeting.

### **Presiding Officer (Chair)**

- The presiding officer is the chair, who shall be one of the permanent officers or a permanent officer's designee.
- The chair shall preside at all meetings of the Council. If the chair is unavailable, the vice chair will act as chair.
- The chair will designate the time, date, and place of all meetings.
- The chair shall be responsible for filing notice of meetings as required by law.
- The chair shall also give notice of the meetings to Council members.
- The chair shall prepare the agenda before Council meetings.
- The chair shall designate a clerk to keep a complete record of the meetings of the Council and shall prepare written summaries or minutes reflecting actions taken by Council members present as required by the Government Code, Chapter 551.
- Appoints auxiliary voting members in accordance with the law.
- Shall fill a vacancy of an auxiliary voting member for the unexpired term by appointing a person who has the qualifications for the vacated position.

### **Vice-Chair**

- If the chair is unavailable, the vice chair will act as chair.
- Should the chair resign, the vice chair shall serve as chair for the remainder of the unexpired term.
- If the chair is unavailable at a meeting, the vice-chair shall act as chair for the meeting or until the chair is available. If the chair resigns, the chair shall notify the vice-chair and other members in writing, and the vice-chair shall serve as chair for the remainder of the unexpired term. The clerk shall note the resignation and transition of the presiding officer in the minutes of the first meeting following the chair's resignation.
- Permanent members and auxiliary members are eligible for election as vice-chair, and may serve as chair if the chair is unavailable or if the chair resigns.

### **Auxiliary voting members**

- Auxiliary voting members are appointed by the chair of the Council with the consent of a majority of the permanent members of the Council.
- Auxiliary voting members serve two-year terms, with the terms expiring February 1 of each odd-numbered year.
- A person who is appointed as an auxiliary voting member or to fill a vacancy of an auxiliary voting member may continue to serve as a member only while the person continues to possess the qualifications for the category under which the person is appointed.

## **Designees**

- Designees have full power and authority to act on behalf of the members of the Council whom they represent.

## **Administrative Operations**

### **Meetings**

- The Council shall meet at least once quarterly and at other times at the call of the chair or upon the written request of three or more members. Any written request must be filed with the chair or the vice chair.
- All meetings shall comply with the open meetings provisions in the Government Code, Chapter 551.

### **Agenda Items**

Items shall be included on the agenda upon the written request of one Council member and approval of the chair.

- An opportunity for public comment shall be provided at each Council meeting.
- Public comment shall be heard subject to limitations imposed at the discretion of the chair, including time limits and other constraints as necessary for efficient and fair consideration of agenda items.

### **Voting**

The Council may take action upon a majority vote of the members eligible to vote on that action.

### **Public Hearings**

The Council may periodically hold public hearings to obtain input regarding:

- the policies and operations of the Council;
- issues before the Council, and
- to solicit suggestions and ideas from interested members of the public.

## **Additional Administrative Responsibilities (Council Operations)**

### **Repository for RMICC Information**

The State Librarian or designee of the State Librarian shall maintain the official repository for RMICC information including the following:

- Meeting minutes that are approved by the Council and signed
- Audio recordings of meetings (if the proceedings are recorded)
- Council roll call sheets
- Witness registration forms
- Biennial reports to Governor and Legislature
- Reports submitted to RMICC by committees

The chair shall direct the clerk to deliver information to the official repository. The clerk shall also deliver to the Legislative Reference Library copies of meeting minutes and biennial reports that are approved by the Council and signed.

The chair shall invite members to submit meeting agenda items. Members may submit agenda items to the chair in writing. The chair shall direct the clerk to give written notice of a meeting to the Secretary of State and to post notice of the meeting on the RMICC web site at least seven days before the date of the meeting. The chair also may direct the clerk to give direct notice of a meeting to other persons interested in RMICC, including records management officers and information resource managers.

### **RMICC web site**

- The RMICC web site shall be hosted by [the agency of a permanent member] with approval of the Council.
- Additions and updates to the web site content may be authorized by the chair or upon the written request of three or more members, provided the content changes are consistent with current RMICC policy and programs. The chair shall report any content changes at the first RMICC meeting that follows the changes.
- Content that concerns a new policy or program must be approved by the Council before it is added to the web site.
- The host agency by accepting responsibility to host the site shall agree to assign at least one employee to make content changes to the site as directed by RMICC. The RMICC member who represents the host agency may also serve as a liaison between the chair and the host agency staff employee assigned to make content changes to the site.

### **Communication**

- Council members will meet quarterly in Austin. The Council Chair will call the meetings and make arrangements for the distribution of the agenda. Email will be used as the primary means of distributing the agenda among the Council members.
- Council members may interact with stakeholders when investigating issues of importance to the Council. Interaction may take the form of open hearings, focus groups, conference calls, or other appropriate means of communication.
- Council members will interact with the general public at scheduled Council meetings through an open comments period and through meeting minutes and other documents posted on the RMICC Web site.

## **Work Projects**

### **Biennial Report**

- To identify projects that will feed into the biennial report to the Legislature, the Council will:
  - ♦ After each Legislative Session, review bills passed to determine if tasks were assigned to RMICC.
  - ♦ At the first Council meeting of each year, the Council will hold a discussion to determine issues of importance to the records managers in state agencies.

- Assignments from the Legislature will hold a high priority and the scope of the assignment will be determined based on available documents from the Legislature. Other projects will be prioritized by the Council and the Council will discuss the scope of the project with appropriate stakeholders.
- Deliverables for assignments from the Legislature will be defined in the bill or in discussion with appropriate members of the Legislature. Deliverables for other projects will be defined by the Council in discussions with the Council Committee undertaking the project activities.
- The Council Chair will develop a schedule and an outline of the report sections for the preparation of the biennial report to the Legislature and submit it to the Council at the first meeting of the year the report is due. The Chair will assign the preparation of the sections to Council members as appropriate. The Chair will designate the format of the submissions from other Council members and will edit, or designate an editor, for the final draft of the report. Content of the report will include information from any assigned items from the Legislature and any other investigations undertaken by the Council. The report will be completed and distributed to the Council members for final review 30 days before it is due for submission.

## **Committees**

- The Council may assign committees to review, evaluate, consider, or analyze any legislation, suggestions, proposals, or other information on the Council's behalf.
- The assigned committees may perform any function deemed necessary by the Council.
- The results of any reviews or evaluations may be made in writing and submitted to the Council.
- The Council may consider the written recommendations, but shall not be bound by such recommendations.
- The Council may vote to abolish a committee or change a committee's assignment.
- All committee chairs shall be nominated and elected by the Council.
  - ◆ Committee chairs may appoint committee members.
  - ◆ Any state employee may be appointed to serve on a Council committee, subject to approval of the executive director of that employee's agency.

## **Charter Maintenance**

This Charter will be updated as needed to redefine the shared direction, guiding principles, membership and decision criteria required to address records management issues for the State of Texas. It is recommended that the Charter be revised annually by a sub-panel of members, and version control be used to track updates to the Charter.

## **Definitions**

### Records Management

(Government Code Section 441.180 (7) (A-F))

(7) "Records management" means the application of management techniques to the creation, use, maintenance, retention, preservation, and destruction of state records for the purposes

of improving the efficiency of recordkeeping, ensuring access to public information under Chapter 552, and reducing costs. The term includes:

- (A) the development of records retention schedules;
- (B) the management of filing and information retrieval systems in any media;
- (C) the adequate protection of state records that are vital, archival, or confidential according to accepted archival and records management practices;
- (D) the economical and space-effective storage of inactive records;
- (E) control over the creation and distribution of forms, reports, and correspondence; and
- (F) maintenance of public information in a manner to facilitate access by the public under Chapter 552.

#### Electronic State Record

(Texas Administrative Code Title 13 Part 1 Chapter 6.91 Subchapter C)

(5) Electronic state record-Information that meets the definition of a state record in the Government Code, §441.031 and §441.180, and is maintained in electronic format for computer processing, including the product of computer processing of the information.

#### State Records

(Government Code Section 441.180 (11))

(11) "State record" means any written, photographic, machine-readable, or other recorded information created or received by or on behalf of a state agency or an elected state official that documents activities in the conduct of the state business or use of public resources. The term does not include:

- (A) library or museum material made or acquired and maintained solely for reference or exhibition purposes;
- (B) an extra copy of recorded information maintained only for reference; or
- (C) a stock of publications or blank forms.

#### State Agency

(Government Code Section 441.180 (9))

(9) "State agency" means:

- (A) any department, commission, board, office, or other agency in the executive, legislative, or judicial branch of state government created by the constitution or a statute of this state, including an eleemosynary institution;
- (B) any university system and its components and any institution of higher education as defined by Section 61.003, Education Code, except a public junior college, not governed by a university system board;
- (C) the Texas Municipal Retirement System and the Texas County and District Retirement System; and
- (D) any public nonprofit corporation created by the legislature whose responsibilities and authority are not limited to a geographical area less than that of the state.

#### Permanent Member Agency

(Government Code 441.203 (a) (1))

(1) permanent member, consisting of the following officers of the officer's designee:

- (A) the secretary of state;
- (B) the state auditor, who serves as a nonvoting member;
- (C) the comptroller of public accounts;
- (D) the attorney general;
- (E) the director and librarian;
- (F) and the executive director of the Department of Information Resources;

#### Auxiliary Voting Members

(Government Code Section 441.203 (a) (2))

(2) auxiliary voting members, consisting of:

- (A) one faculty member of a public senior college or university, as defined by Section 61.003, Education Code, who has demonstrated knowledge of records and information management; and
- (B) two individuals who serve as information resources managers, under Section 2054.071, for state agencies in the executive branch of government.

## **Proposed New Title 13, Texas Administrative Code.**

Texas Administrative Code, Chapter 50. Records Management Interagency Coordinating Council.

### **Subchapter A. Council purpose, mission, and authority.**

#### *§50.1. Purpose.*

(a) This chapter sets forth the operating procedures for the Records Management Interagency Coordinating Council (RMICC). RMICC was created by the Texas State Library and Archives Commission's 1995 Sunset reauthorization legislation (SB 366) as the successor to the now-abolished Records Management and Preservation Advisory Committee.

(b) The purpose of this Charter is to define the mission, authority, statutory responsibilities, membership, roles and responsibilities, administrative operations, Council operations, communication, work projects and charter maintenance for RMICC.

#### *§50.2. Mission.*

The Records Management Interagency Coordinating Council coordinates the management of state government records by:

- (1) informing the legislature on records management issues and making recommendations to improve records management processes and accountability;
- (2) facilitating the transition from paper to electronic records; and
- (3) developing consistent records management in state agencies.

#### *§50.3. Authority.*

RMICC derives its authority from the Government Code §441.203.

(1) To implement its policies, the council shall adopt rules as prescribed under the Government Code, §441.203 and under the Administrative Procedure Act, Government Code, Chapter 2001.

(2) State agencies are required to cooperate with the council in the performance of its duties.

*§50.4. Statutory Responsibilities.*

(a) The Council reviews the activities of each permanent member agency that affect the state's management of records; studies other records management issues; and reports its findings and any recommended legislation to the governor and the legislature not later than November 1 of each even-numbered year.

(b) The Council shall adopt policies that coordinate the activities of each permanent member agency and that make other improvements in the state's management of records.

(c) Each permanent member agency shall adopt the policies adopted under Government Code, §441.203(f) as the permanent member agencies' own rules, except to the extent that the policies conflict with other state or federal law.

(d) Each permanent member agency shall report on the agency's adoption and implementation of rules under Government Code, §441.203(g) to the Council not later than October 1 of each even-numbered year.

(e) The Council shall categorize state agency programs and telephone numbers by subject matter as well as by agency. The Council shall cooperate with the Texas Information and Referral Network under Section 531.0312 to ensure that the Council and the network use a single method of defining and organizing information about health and human services.

*§50.4. Permanent Members.*

The Records Management Interagency Coordinating Council is composed of permanent and auxiliary voting members. Permanent members consist of the following officers or the officer's designee:

- (1) The Secretary Of State;
- (2) The State Auditor, Who Serves As a Nonvoting Member;
- (3) The Comptroller of Public Accounts;
- (4) The Attorney General;
- (5) The Director and Librarian; and
- (6) The Executive Director of the Department of Information Resources.

*§50.5. Auxiliary Members.*

Auxiliary voting members consist of one faculty member of a public senior college or university who has demonstrated knowledge of records and information management;

and two individuals who serve as information resources managers for state agencies in the executive branch of government.

*§50.6. Term of Office.*

\*\*\* The position of presiding officer rotates among the permanent members of the Council according to the procedures adopted by the Council. A term as presiding officer is two years and expires on February 1 of each odd-numbered year.

(1) The chair and vice-chair shall serve for two years, beginning on February 1 of each odd-numbered year.

(2) No member shall serve more than two consecutive full terms in any one office.

*§50.7. Council Service.*

Service on the Council is an additional duty of a member's office or employment. A member of the Council is not entitled to compensation, but is entitled to reimbursement of travel expenses incurred by the member while conducting the business of the Council, as provided in the General Appropriations Act.

*§50.8. Council Staff.*

The Council's permanent member agencies shall provide the staff for the Council.

*§50.9 Definitions.*

The following terms are defined for this Chapter, relating to the Records Management Interagency Coordinating Council, unless the context clearly indicates otherwise.

(1) Records Management--(Government Code §441.180(7)(A-F)) means the application of management techniques to the creation, use, maintenance, retention, preservation, and destruction of state records for the purposes of improving the efficiency of recordkeeping, ensuring access to public information under Chapter 552, and reducing costs. The term includes:

(A) the development of records retention schedules;

(B) the management of filing and information retrieval systems in any media;

(C) the adequate protection of state records that are vital, archival, or confidential according to accepted archival and records management practices;

(D) the economical and space-effective storage of inactive records;

(E) control over the creation and distribution of forms, reports, and correspondence; and

(F) maintenance of public information in a manner to facilitate access by the public under Chapter 552.

(2) Electronic State Record--(13 Texas Administrative Code §6.91(5)) Information that meets the definition of a state record in the Government Code, §441.031 and §441.180, and is maintained in electronic format for computer processing, including the product of computer processing of the information.

(3) State Records--(Government Code §441.180(11))

any written, photographic, machine-readable, or other recorded information created or received by or on behalf of a state agency or an elected state official that documents activities in the conduct of the state business or use of public resources. The term does not include:

(A) library or museum material made or acquired and maintained solely for reference or exhibition purposes:

(B) an extra copy of recorded information maintained only for reference; or

(C) a stock of publications or blank forms.

(4) State Agency--(Government Code §441.180 (9))

“State agency” means:

(A) any department, commission, board, office, or other agency in the executive, legislative, or judicial branch of state government created by the constitution or a statute of this state, including an eleemosynary institution;

(B) any university system and its components and any institution of higher education as defined by Section 61.003, Education Code, except a public junior college, not governed by a university system board;

(C) the Texas Municipal Retirement System and the Texas County and District Retirement System; and

(D) any public nonprofit corporation created by the legislature whose responsibilities and authority are not limited to a geographical area less than that of the state.

(5) Permanent Member Agency--(Government Code §441.203(a)(1)) permanent members consist of the following officers or an officer's designee:

(A) the secretary of state;

- (B) the state auditor, who serves as a nonvoting member;
- (C) the comptroller of public accounts;
- (D) the attorney general;
- (E) the director and librarian;
- (F) and the executive director of the Department of Information Resources;

(6) Auxiliary Voting Members--(Government Code §441.203(a)(2))  
auxiliary voting members consist of:

(A) one faculty member of a public senior college or university, as defined by Section 61.003, Education Code, who has demonstrated knowledge of records and information management; and

(B) two individuals who serve as information resources managers, under Section 2054.071, for state agencies in the executive branch of government.

## **Subchapter B. Roles and Responsibilities.**

### *§50.21. Members.*

Member roles and responsibilities include the following.

- (1) The members shall nominate and elect a chair and a vice chair during even-numbered years.
- (2) A member who is unable to attend a meeting shall notify the chair before the meeting, and if possible send a designee to the meeting.

### *§50.22. Presiding Officer (Chair).*

Presiding Officer (Chair) roles and responsibilities include the following.

- (1) The presiding officer is the chair, who shall be one of the permanent officers or a permanent officer's designee.
- (2) The chair shall preside at all meetings of the Council. If the chair is unavailable, the vice chair will act as chair.
- (3) The chair will designate the time, date, and place of all meetings.

- (4) The chair shall be responsible for filing notice of meetings as required by law.
- (5) The chair shall also give notice of the meetings to Council members.
- (6) The chair shall prepare the agenda before Council meetings.
- (7) The chair shall designate a clerk to keep a complete record of the meetings of the Council and shall prepare written summaries or minutes reflecting actions taken by Council members present as required by the Government Code, Chapter 551.
- (8) The chair shall appoint auxiliary voting members in accordance with the law.
- (11) The chair shall fill a vacancy of an auxiliary voting member for the unexpired term by appointing a person who has the qualifications for the vacated position.

*§50.23. Vice-Chair.*

Vice-Chair roles and responsibilities shall include the following.

- (1) If the chair is unavailable, the vice chair will act as chair.
- (2) Should the chair resign, the vice chair shall serve as chair for the remainder of the unexpired term.
- (3) If the chair is unavailable at a meeting, the vice-chair shall act as chair for the meeting or until the chair is available. If the chair resigns, the chair shall notify the vice-chair and other members in writing, and the vice-chair shall serve as chair for the remainder of the unexpired term. The clerk shall note the resignation and transition of the presiding officer in the minutes of the first meeting following the chair's resignation.
- (4) Permanent members and auxiliary members are eligible for election as vice-chair, and may serve as chair if the chair is unavailable or if the chair resigns.

*§50.24. Auxiliary voting member.*

Auxiliary voting member roles and responsibilities include the following.

- (1) Auxiliary voting members are appointed by the chair of the Council with the consent of a majority of the permanent members of the Council.
- (2) Auxiliary voting members serve two-year terms, with the terms expiring February 1 of each odd-numbered year.
- (3) A person who is appointed as an auxiliary voting member or to fill a vacancy of an auxiliary voting member may continue to serve as a member only while the person

continues to possess the qualifications for the category under which the person is appointed.

*§50.25. Designees.*

Designees have full power and authority to act on behalf of the members of the Council whom they represent.

**Subchapter C. Administrative Operations.**

*§50.31. Meetings.*

(a) The Council shall meet at least once quarterly and at other times at the call of the chair or upon the written request of three or more members. Any written request must be filed with the chair or the vice chair.

(b) All meetings shall comply with the open meetings provisions in the Government Code, Chapter 551.

*§50.32. Agenda Items.*

Items shall be included on the agenda upon the written request of one Council member and approval of the chair.

(1) The chair shall invite members to submit meeting agenda items. Members may submit agenda items to the chair in writing. The chair shall direct the clerk to give written notice of a meeting to the secretary of state and to post notice of the meeting on the RMICC web site at least seven days before the date of the meeting. The chair also may direct the clerk to give direct notice of a meeting to other persons interested in RMICC, including records management officers and information resource managers.

(2) An opportunity for public comment shall be provided at each Council meeting.

(3) Public comment shall be heard subject to limitations imposed at the discretion of the chair, including time limits and other constraints as necessary for efficient and fair consideration of agenda items.

*§50.33. Voting.*

The Council may take action upon a majority vote of the members eligible to vote on that action.

*§50.34. Public Hearings.*

The Council may periodically hold public hearings to obtain input regarding:

- (1) the policies and operations of the Council;
- (2) issues before the Council, and
- (3) to solicit suggestions and ideas from interested members of the public.

*§50.35. Repository for RMICC Information.*

(a) The State Librarian or designee of the State Librarian shall maintain the official repository for RMICC information including the following:

- (1) Meeting minutes that are approved by the Council and signed;
- (2) Audio recordings of meetings (if the proceedings are recorded);
- (3) Council roll call sheets;
- (4) Witness registration forms;
- (5) Biennial reports to Governor and Legislature;
- (6) Reports submitted to RMICC by committees.

(b) The chair shall direct the clerk to deliver information to the official repository. The clerk shall also deliver to the Legislative Reference Library copies of meeting minutes and biennial reports that are approved by the Council and signed.

*§50.36. RMICC web site.*

(a) The RMICC web site shall be hosted by [the agency of a permanent member] with approval of the Council.

(b) Additions and updates to the web site content may be authorized by the chair or upon the written request of three or more members, provided the content changes are consistent with current RMICC policy and programs. The chair shall report any content changes at the first RMICC meeting that follows the changes.

(c) Content that concerns a new policy or program must be approved by the Council before it is added to the web site.

(d) The host agency by accepting responsibility to host the site shall agree to assign at least one employee to make content changes to the site as directed by RMICC. The

RMICC member who represents the host agency may also serve as a liaison between the chair and the host agency staff employee assigned to make content changes to the site.

*§50.37. Communication.*

(a) Council members will meet quarterly in Austin. The Council Chair will call the meetings and make arrangements for the distribution of the agenda. Email will be used as the primary means of distributing the agenda among the Council members.

(b) Council members may interact with stakeholders when investigating issues of importance to the Council. Interaction may take the form of open hearings, focus groups, conference calls, or other appropriate means of communication.

(c) Council members will interact with the general public at scheduled Council meetings through an open comments period and through meeting minutes and other documents posted on the RMICC Web site.

**Subchapter D. Work Projects.**

*§50.51. Biennial Report.*

(a) To identify projects that will feed into the biennial report to the Legislature, the Council will:

(1) After each Legislative Session, review bills passed to determine if tasks were assigned to RMICC.

(2) At the first Council meeting of each year, the Council will hold a discussion to determine issues of importance to the records managers in state agencies.

(b) Assignments from the Legislature will hold a high priority and the scope of the assignment will be determined based on available documents from the Legislature. Other projects will be prioritized by the Council and the Council will discuss the scope of the project with appropriate stakeholders.

(c) Deliverables for assignments from the Legislature will be defined in the bill or in discussion with appropriate members of the Legislature. Deliverables for other projects will be defined by the Council in discussions with the Council Committee undertaking the project activities.

(d) The Council Chair will develop a schedule and an outline of the report sections for the preparation of the biennial report to the Legislature and submit it to the Council at the first meeting of the year the report is due. The Chair will assign the preparation of the sections to Council members as appropriate. The Chair will designate the format of the submissions from other Council members and will edit, or designate an editor, for the

final draft of the report. Content of the report will include information from any assigned items from the Legislature and any other investigations undertaken by the Council. The report will be completed and distributed to the Council members for final review 30 days before it is due for submission.

*§50.52. Committees.*

- (a) The Council may assign committees to review, evaluate, consider, or analyze any legislation, suggestions, proposals, or other information on the Council's behalf.
- (b) The assigned committees may perform any function deemed necessary by the Council.
- (c) The results of any reviews or evaluations may be made in writing and submitted to the Council.
- (c) The Council may consider the written recommendations, but shall not be bound by such recommendations.
- (d) The Council may vote to abolish a committee or change a committee's assignment.
- (e) All committee chairs shall be nominated and elected by the Council.
- (f) Committee chairs may appoint committee members.
- (g) Any state employee may be appointed to serve on a Council committee, subject to approval of the executive director of that employee's agency.

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**Proposed Amendments to the Texas Government Code**

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Government Code, Chapter 441.

Sec. 441.203. RECORDS MANAGEMENT INTERAGENCY COORDINATING COUNCIL. (a) The Records Management Interagency Coordinating Council is composed of:

(1) permanent members, consisting of the following officers or the officer's designee:

(A) the secretary of state;

(B) the state auditor, who serves as a nonvoting member;

(C) the comptroller of public accounts;  
(D) the attorney general;  
(E) the director and librarian; and  
(F) the executive director of the  
Department of Information Resources; and

(2) auxiliary voting members, consisting of:

(A) one faculty member of a public senior college or university, as defined by Section 61.003, Education Code, who has demonstrated knowledge of records and information management; and

(B) two individuals who serve as information resources managers, under Section 2054.071, for state agencies in the executive branch of government.

(a-1) The presiding officer of the council shall appoint auxiliary voting members in accordance with this section. To be appointed by the presiding officer as an auxiliary voting member for a full or partial term, a person must be nominated by the presiding officer and receive the approval of a majority of the permanent members listed under Subsection (a)(1).

(a-2) Auxiliary voting members serve two-year terms, with the terms expiring February 1 of each odd-numbered year. A person who is appointed as an auxiliary voting member or to fill a vacancy of an auxiliary voting member may continue to serve as a member only while the person continues to possess the qualifications for the category under which the person is appointed.

(a-3) The presiding officer shall fill a vacancy of an auxiliary voting member for the unexpired term by appointing a person who has the qualifications required under Subsection (a)(2) for the vacated position. A person appointed to fill a vacant position of an auxiliary voting member shall serve for the unexpired portion of the term for which the person is appointed.

(b) The position of presiding officer rotates among the ~~[permanent]~~ members of the council according to the

procedures adopted by the council. A term as presiding officer is two years and expires on February 1 of each odd-numbered year.

(c) Service on the council is an additional duty of a member's office or employment. A member of the council is not entitled to compensation, but is entitled to reimbursement of travel expenses incurred by the member while conducting the business of the council, as provided in the General Appropriations Act.

(d) The council's [~~permanent~~]member agencies shall provide the staff for the council.

(e) The council shall:

(1) review the activities of each permanent member agency that affect the state's management of records;

(2) study other records management issues; and

(3) report its findings and any recommended legislation to the governor and the legislature not later than November 1 of each even-numbered year.

(f) The council shall adopt policies that coordinate the activities of each permanent member agency and that make other improvements in the state's management of records. The council shall adopt policies under this subsection using the rulemaking procedures prescribed by Chapter 2001.

(g) Each permanent member agency shall adopt the policies adopted under Subsection (f) as the permanent member agency's own rules, except to the extent that the policies conflict with other state or federal law.

(h) Each permanent member agency shall report on the agency's adoption and implementation of rules under Subsection (g) to the council not later than October 1 of each even-numbered year.

(i) In this section, "permanent member agency" means each state officer who is a permanent member of the council

or an agency that has a representative who is a permanent member of the council.

~~[(j) The council shall categorize state agency programs and telephone numbers by subject matter as well as by agency. The council shall cooperate with the Texas Information and Referral Network under Section 531.0312 to ensure that the council and the network use a single method of defining and organizing information about health and human services.]~~

(k) A state agency shall cooperate with the council in the performance of its duties.

(l) Participation by the state auditor under Subsection (a) is subject to approval by the legislative audit committee for inclusion in the audit plan under Section 321.013(c).

Added by Acts 1997, 75th Leg., ch. 873, Sec. 1, eff. Sept. 1, 1997. Amended by Acts 1999, 76th Leg., ch. 1460, Sec. 3.07, eff. Sept. 1, 1999; Acts 2003, 78th Leg., ch. 79, Sec. 1, eff. Sept. 1, 2003; Acts 2003, 78th Leg., ch. 785, Sec. 15, eff. Sept. 1, 2003.

Amended by:

Acts 2005, 79th Leg., Ch. [728](#), Sec. 23.001(31), eff. September 1, 2005.

Acts 2007, 80th Leg., R.S., Ch. [937](#), Sec. 3.04, eff. September 1, 2007.

# Appendix A. Report of the Best Practices for Managing Digital Information Committee

PROJECT UPDATE | SEPTEMBER 7, 2010

Presented by Martha Richardson, Committee Chairperson

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## Committee Update

- **Analysis of Information Resources Deployment Review Annex: Data and Information Management**

The purpose of conducting the survey was two-fold: to provide a snapshot of agencies' methods of maintaining, retaining, locating, reusing, disposing, and preserving data and information and to develop recommendations, guidelines, and best practices for improving digital information management based on the analysis of the results.

The survey was designed to be answered from the Information Resources Manager's perspective. Questions were asked about common information technology practices for managing data and information in the areas of:

- Information governance
- Life-cycle management of data and information
- E-Mail management
- E-Discovery
- Digital preservation
- Database platforms

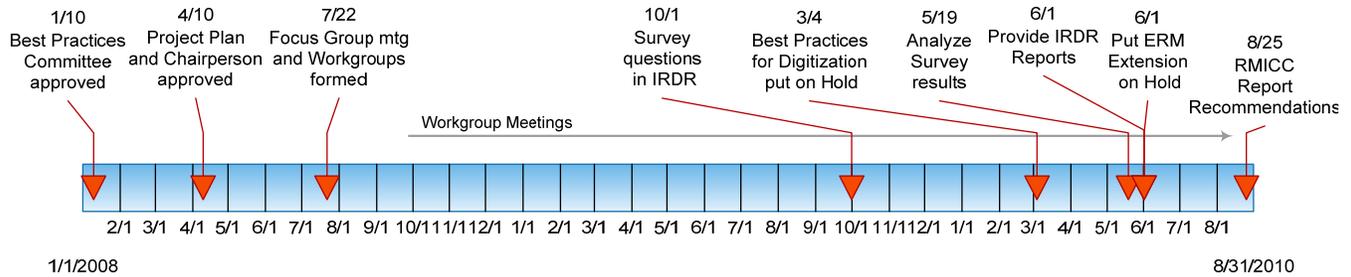
The data was grouped and analyzed by:

- Agency type (agency, data center customer, university)
- Agency size (small, medium, large)
- Agency size (very small, small, medium, large, very large)
- Article of government (General Government, Health and Human Services, Education, The Judiciary, Public Safety and Criminal Justice, Natural Resource, Business and Economic Development, Regulatory)
- Subset of Health and Human Services agencies

The survey documented IT practices which do not correlate one-to-one to records management practices. However, some IT practices make it easier to manage electronic records while others may make it more difficult.

- **Key finding:** Common data and information management practices in state agencies and universities vary widely. Agencies that coordinate technology planning did not exhibit consistent practices among themselves.
- **Possible action items for Best Practices Committee:**

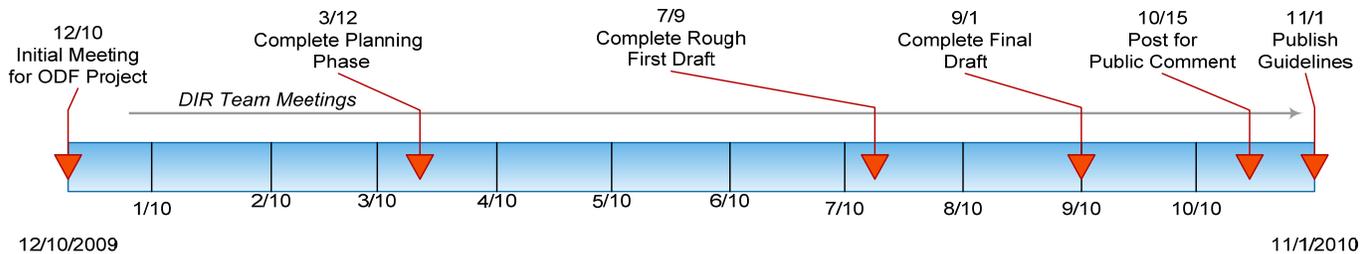
- Continue looking at ways to analyze responses from the IRDR survey along with agency responses to the Agency Strategic Plan-IR request to “Describe agency strategies to enhance information asset management practices” to identify agencies that are actively pursuing workable solutions to improve data and information management.
  - Follow-up with identified agencies to investigate and collect successful policies, procedures, and technology solutions.
  - Develop best practices based on agencies’ successful procedures and promulgate statewide.
  - Develop survey instrument similar to IRDR survey but from Records Management Officer’s point of view of agency’s practices for managing electronic records.
  - Identify opportunities to encourage interaction between records managers, information technology staff, legal, and business units.
- **Possible action items for RMICC**
    - Investigate ways to engage the Legislature (show cost to State of agencies all doing the same thing independently vs. cost of consolidating and centralizing).
    - Explore the possibility of adopting rules effecting statewide electronic records management.
- **Electronic Records Management Extension for Texas Project Delivery Framework**
    - APPROVED AT JUNE MEETING: Proposed publishing ERM Framework Extension in the future
    - COMPLETED SINCE JUNE MEETING: No activity.
    - POSSIBILITY: DIR staff may work on the ERM Framework Extension to fulfill Strategy 4.3 – Optimize Information Asset Management as stated in the 2010-2014 State Strategic Plan for Information Resources Management.
- **Best Practices for Digitization**
    - APPROVED AT JUNE MEETING: Proposed publishing guidelines at some future time.
    - COMPLETED SINCE MARCH MEETING: No activity.
    - POSSIBILITY: Continuation of guide by Best Practices Committee with assistance of State Library and Archives Commission staff.



**Figure 1: Updated Committee Deliverables Timeline**

- Update on Office Productivity application Refresh Guideline
  - Completed rough draft July 8, 2010.
  - Reviewed on weekly basis with analyst from The Advisory Council.
  - Submit for internal review September 1, 2010.
  - Plan to post for comment on October 15, 2010.
  - Plan to publish by November 1, 2010.

## Office Productivity Application Update



**Figure 2: Open Standards for Document Formats Project Timeline**

## Overall Challenges

- DIR priorities for staff
- Workgroup member agency priorities

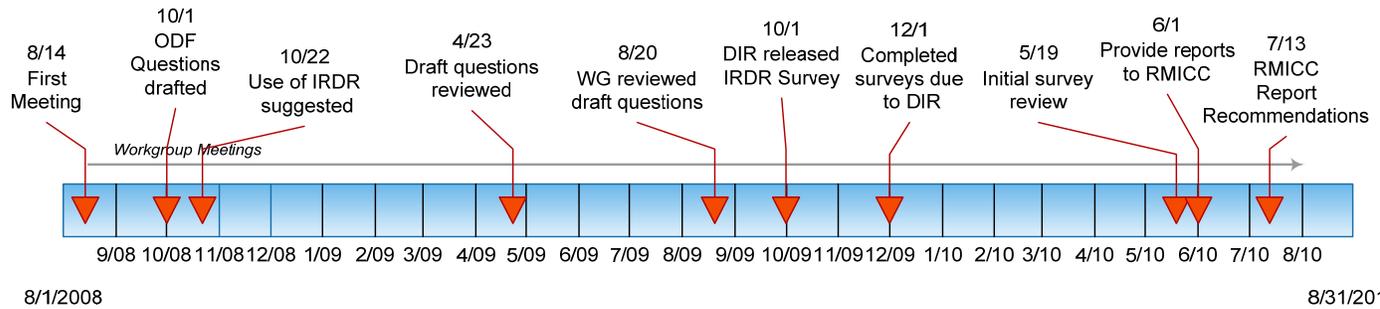
## Workgroups

The Committee includes three workgroups:

- 4) **Texas Workgroup** — Identifies Texas regulations and standards for managing electronic records and currently used practices for managing data and information in Texas government.
- 5) **Technology Workgroup** — Develops best practices for information architecture and governance for the life-cycle management of future electronic information.

- 6) **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.

## Texas Workgroup Update



**Figure 3: Updated Texas Workgroup Deliverables Timeline**

### Purpose

To identify Texas regulations and standards for managing electronic records and identify currently used practices for managing data and information in Texas government.

### Goals

- 1) To ascertain how agencies are currently managing data and information within their organizations.
- 2) To develop best practices for managing data and information based on responses from agencies.
- 3) To study and make recommendations to the Legislature for improving management of digital information including the use of open standards for desktop productivity software if necessary.

### Accomplishments to Date

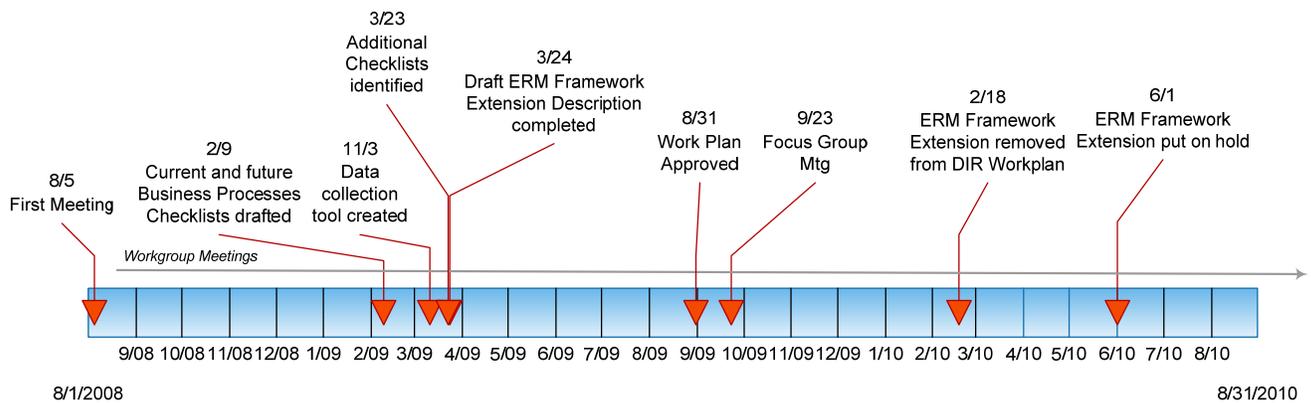
- 1) Developed draft survey questions about use of open document format based on surveys conducted by Minnesota and New York state governments (put on hold waiting for instructions from Legislature) October 1, 2008.
- 2) Decided to survey agencies through DIR's Information Resources Deployment Review (IRDR), October 22, 2008.
- 3) Completed initial draft survey questions for inclusion in DIR's Information Resources Deployment Review (IRDR) April 22, 2009.
- 4) Discussed draft survey questions April 23, 2009.
- 5) Submitted revised survey questions to DIR staff for IRDR review process August 10, 2009.
- 6) Reviewed survey questions with workgroup on August 20, 2009.
- 7) Published final survey questions in Annex of IRDR on October 1, 2009.
- 8) Collected survey results into workable form for analysis.
- 9) Created reports from survey analysis

- 10) Discussed survey results and requested input from work group
- 11) Provided report to RMICC on June 1, 2010
- 12) Developed recommendations for RMICC on August 25, 2010.

### Moving Forward

- 1) Continue analyzing data with the intent of identifying agencies that are using best practices.

## Technology Workgroup Update



**Figure 4: Updated Technology Workgroup Deliverables Timeline**

### Purpose

To develop best practices for information architecture and governance for the life-cycle management of future electronic information.

### Goal

To develop a Project Delivery Framework Extension for Electronic Records Management (ERM).

### Accomplishments to Date

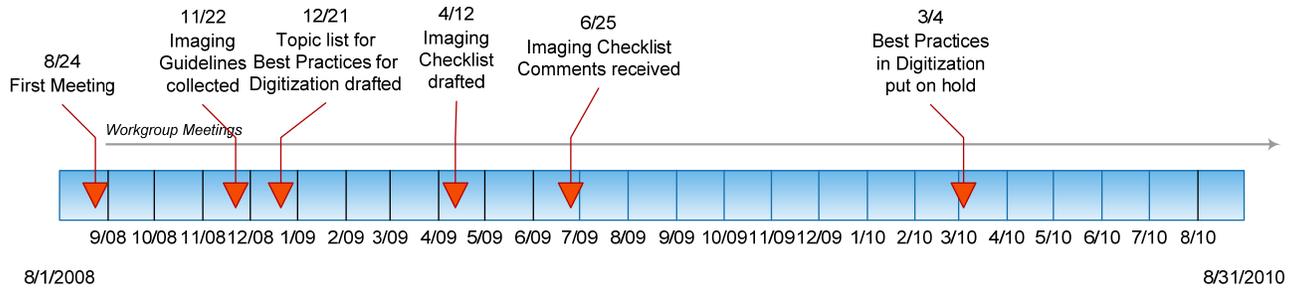
- 1) Developed draft checklists for identifying current business processes and future business processes, February 9, 2009.
- 2) Developed data collection template based on Framework Review Gates to identify areas requiring records management input, toolsets, and description/explanation of toolset use, March 11, 2009.
- 3) Completed ERM Framework Extension draft description March 24, 2009.
- 4) Submitted ERM Framework Extension draft description to DIR Project Delivery Framework team for review May 5, 2009.
- 5) Approved work plan for DIR staff participation on August 31, 2009.
- 6) Held stakeholder focus group meeting on September 23, 2009.
- 7) Included in DIR's 2010-2014 State Strategic Plan for Information Resources Management as Strategy 4.3 "Optimize Information Asset Management".

### Moving Forward

- 1) Continue developing the ERM Framework Extension as time permits.

- 2) Schedule work group meetings to review drafts of extension when ready.
- 3) Propose publishing ERM Framework Extension sometime in the future.

## National/International Workgroup



**Figure 5: Updated National/International Workgroup Deliverables Timeline**

### Purpose

To identify guidelines, standards, regulations, and best practices about managing electronic records from professional organizations, standards setting bodies, other states and other countries.

### Goal

To create best practices for implementing digitization projects.

### Accomplishments to Date

- 1) Collected and collated guidelines for justifying imaging projects, imaging standards, and forms used by workgroup member agencies, October 28, 2008.
- 2) Developed “Topic List for Best Practices for Digitization” November 19, 2008.
- 3) Created first draft of Imaging Checklist, March 24, 2009.
- 4) Received comments on draft Imaging Checklist from some workgroup members, May 20, 2009.

### Moving Forward

- 1) Continue working on checklists for best practices for digitization projects.
- 2) Schedule work group meetings as time permits.
- 3) Propose publishing guidelines in the future.

## Committee Background

### Purpose

The purpose of the Best Practices for Managing Digital Information Committee (“Committee”) is

- 1) **to develop guidelines and 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
- 2) **to make recommendations** to the State Library and Archives Commission (TSLAC).

In fulfilling this purpose, the Committee will develop best practices for

- 1) the **management of existing** electronically stored information (ESI),
- 2) **information architecture and governance** for the life-cycle management of **future** electronic information, and
- 3) long-term **preservation** of ESI with **historical value**.

### Goals

- 1) To develop guidelines/best practices for managing digital information that promote life-cycle management that are concise, understandable, user-friendly, cost-effective, and in compliance with state laws and rules for records management and accessibility.
- 2) To research and recommend how electronic documents can be created, maintained, exchanged, and preserved by the state in a manner that encourages appropriate government control, access, choice, interoperability, and vendor neutrality, if such legislation is enacted by the 81st Legislature.

## History

### SUMMARY

Formation of the Committee on Best Practices for Managing Digital Information was approved by RMICC at the January 10, 2008, meeting. A proposed project plan for the Committee was approved on April 10, 2008, and Martha Richardson was approved as Chairperson. A focus group meeting of interested parties was held in July 2008 from which three workgroups were formed. Each workgroup selected a different aspect of managing digital information and are developing best practices that can be used by state agencies and institutions of higher education.

### DETAILS

#### **January 2008: Committee Created**

At the January 10, 2008 meeting, Martha Richardson, representing Brian Rawson, executive director of the Texas Department of Information Resources, presented a proposal to the Council to form a committee to develop policies, procedures, guidelines, and best practices for managing digital information as stated in the DIR’s State Strategic Plan for Information Resources Management. The Council agreed that a committee would be a good idea and expressed interest in DIR taking the lead. Martha Richardson, DIR’s Records Management Officer, was suggested as the Chair of the proposed committee.

#### **April 2008: Assistance from Committee on Government Reform Requested**

At the April 10, 2008 RMICC meeting, the Honorable William Callegari addressed the Council as Chairman of the Committee on Government Reform. Chairman Callegari explained that his committee had been given an interim charge, based on H B 1794 and S B 446 (80<sup>th</sup> Legislature), relating to an open document format for electronic state documents, to:

Research, investigate, and make recommendations on how electronic documents can be created, maintained, exchanged, and preserved by the state in a manner that encourages

appropriate government control, access, choice, interoperability, and vendor neutrality. The committee shall consider, but not be limited to, public access to information, expected storage life of electronic documents, costs of implementation, and savings.

Chairman Callegari requested guidance from RMICC on the electronic storage in state government in an enhanced efficient and cost-effective manner.

#### **April 2008: Committee Project Plan Approved**

Martha Richardson proposed a plan for forming the Best Practices on Managing Digital Information Committee. This initial plan was to form a focus group to set goals, review deliverables, and make recommendations to RMICC. Several workgroups composed of focus group members would propose topics, prioritize, and develop guidelines and/or best practices. The initial timeline was set to begin on April 10, 2008 and to end on March 31, 2009. The Council approved the plan with the caveat that the Committee on Best Practices for Managing Digital Information would respond to requests from Chairman Callegari's Government Reform Committee.

#### **July 2008: Committee Progress Report**

At the July 10 meeting, Martha Richardson reported that the committee had 22 members and represented a well-diversified area of expertise (i.e., records managers, information technologists, legal counsels, and archivists). The committee members had been surveyed to determine what areas of managing digital information were of most interest to them to provide talking points for the first meeting.

RMICC Chair, Teresa Morales, announced that the Open Source Committee initially formed by RMICC has been transferred to the Department of Information Resources and the Best Practices for Managing Digital Information Committee would continue its work under RMICC with a focus on open document format as directed by Representative Callegari's Government Reform Committee.

#### **October 2008: No RMICC meeting**

#### **December 2008/January 2009: Interim Reports with Recommendations Published**

The House Committee on Government Reform asked the Texas Workgroup to delay its planned survey on agency use of open document standards until after its interim report was published. While waiting for direction, the workgroup decided to survey agencies to identify software and practices being used by agencies to manage their data and information. The survey questions would be included in DIR's Information Resources Deployment Review.

The Senate Government Organization Committee's Interim Report to the 81<sup>st</sup> Legislature was published in December 2008 and the House Committee on Government Reform Interim Report 2008 was released in January 2009.

Recommendations made in the House Committee on Government Reform Interim Report:

2.1 The Department of Information Resources and the State Library and Archives Commission, with the assistance of the Records Management Interagency Coordinating Council, should continue to focus using software and file formats that will achieve the State's business needs, but also towards the policy goal of better accessibility and interoperability of the State's electronic data.

2.2 Given the growing market preference for open file formats, the committee strongly encourages the Department of Information Resources and the State Library and Archives Commission, with the assistance of the Records Management Interagency Coordinating Council, to further examine and make findings on the use of open file formats in its next revision of the State's Electronic Records Standards and Procedures.

The interim charge given to the Senate Committee on Government Organization, chaired by Senator Rodney Ellis was to:

Study the economic and security costs and benefits, both short-term and long-term, of adoption of an open document format for state-created documents.

Recommendation 2 from the Government Organization Committee's Interim Report to the 81<sup>st</sup> Legislature states:

The Committee recommends that the Department of Information Resources, in collaboration with the Records Management Interagency Coordinating Council (RMICC), conduct further study to determine the best, most secure and cost efficient method for the state to ensure accessibility to state documents and interoperability where desired.

#### **January 2009: Committee Progress Report**

At the January 8, 2009 meeting, Martha Richardson presented an update on the activities of the Best Practices for Managing Digital Information. The initial meeting of the Focus Group took place on July 22, 2008. The purpose and goals of the focus group were established and three workgroups were formed. The workgroups began meeting to discuss topics for developing best practices. Initially, the committee project was given a completion date of March 31, 2009. After the workgroups chose three separate projects, it became evident that they could not all be completed by the proposed date. Martha asked that the projects be given separate due dates and proposed that the projects be prioritized as follows.

- 1) Electronic Records Management Extension for Framework (Framework revisions must be ready before the end of April)
- 2) Survey questions for inclusion in IRDR by beginning of summer
- 3) Best Practices for Digitization (not dependent on particular time)

RMICC members approved the priority list and timelines.

A suggestion was made to review the Digitization Standards adopted and published by the Texas Heritage Digitization Initiative for use in the workgroup's Best Practices for Digitization. The Best Practices could be completed sooner rather than later, if these standards could be adopted by the workgroup.

#### **June 2009: Committee Progress Report**

At the June 4, 2009 meeting, Martha Richardson presented an update on the activities of the Best Practices for Managing Digital Information.

Martha asked that RMICC consider and approve changes to the due dates for each of the projects as follows.

- 1) Electronic Records Management Extension for Framework to be published by October 1, 2009.
- 2) Survey questions for inclusion in IRDR to be completed by June 30, 2009.
- 3) Best Practices for Digitization be published by December 15, 2009.

RMICC members approved the date changes as a good faith effort to meet the project deadlines.

#### **September 2009: Committee Progress Report**

At the September 10, 2009 meeting, Martha Richardson presented an update on the activities of the Best Practices for Managing Digital Information.

Martha asked that RMICC consider and approve changes to the due dates for each of the projects as follows.

- 1) Electronic Records Management Extension for Framework to be published by December 31, 2009.
- 2) Survey questions for inclusion in IRDR to be completed by September 11, 2009.
- 3) Best Practices for Digitization be published by March 31, 2010.

RMICC members suggested delaying publication of Best Practices for Digitization until after completion of the analysis of the survey questions that were included in DIR's IRDR. RMICC members also suggested that a survey of state Records Management Officers be developed. Otherwise, RMICC approved the timeline changes as a good faith effort to meet the project deadlines.

### **December 2009: Committee Progress Report**

At the December 3, 2009 meeting, Martha Richardson presented an update on the activities of the Best Practices for Managing Digital Information.

Martha asked that RMICC consider and approve changes to the due dates for each of the projects as follows.

- 1) Electronic Records Management Extension for Framework to be published by April 30, 2010.
- 2) Analyze the IRDR survey results by February 26, 2010 and report findings and recommendations to RMICC by May 31, 2010.
- 3) Best Practices for Digitization be published by May 31, 2010.

Ginger Salone, Texas Department of Information Resources, suggested the Best Practices Committee return to the initial study about the use of open document format by State agencies, as requested by the Honorable William Callegari, House of Representatives, in April 2008. Otherwise, RMICC approved the timeline changes as a good faith effort to meet the project deadlines.

### **March 4, 2010 Committee Progress Report**

At the March 4, 2010 meeting, Martha Richardson presented an update on the activities of the Best Practices for Managing Digital Information.

Martha asked that RMICC consider and approve changes to the due dates for each of the projects as follows.

- 1) Electronic Records Management Extension for Framework to be published during the 4<sup>th</sup> quarter, 2010.
- 2) Analyze the IRDR survey results by March 26, 2010 and report findings and recommendations to RMICC by May 31, 2010.
- 3) Best Practices for Digitization be published at some future time.

Martha announced that in response to Ginger Salone's request the Texas Department of Information Resources had formed an internal work group to:

- 1) develop a comprehensive buying guide for state agencies to use when determining whether to purchase open or proprietary software during natural upgrade cycles
- 2) evaluate the merits and assess the risks associated with a statewide use of open standards for document formats

Otherwise, RMICC approved the timeline changes as a good faith effort to meet the project deadlines.

### **June 1, 2010 Committee Progress Report**

At the June 1, 2010 meeting, Martha Richardson presented an update on the activities of the Best Practices for Managing Digital Information.

Martha asked that RMICC consider and approve changes to the due dates for each of the projects as follows.

- 1) Propose RMICC review reports and request any additional reports by June 15, 2010. Propose that Texas Work Group with RMICC input develop recommendations for inclusion in RMICC's Biennial Report by July 13, 2010.
- 2) Electronic Records Management Extension for Framework to be published in the future.

- 3) Best Practices for Digitization be published at some future time (no change).

Martha stated that Texas Department of Information Resources' internal work group established to develop an office productivity software refresh guideline had:

- 4) Shifted focus to developing guideline for creating an office productivity software refresh strategy based on a business case
- 5) Set up weekly meetings with analysts from Gartner and The Advisory Council for review and input to guidelines and associated diagrams.
- 6) Developed section about purpose and use of open standards for document formats
- 7) Plan to publish by August 6, 2010.

RMICC approved the timeline changes as a good faith effort to meet the project deadlines.

## **RECOMMENDATION**

No recommendation at this time.

# Appendix B. Report of the University Records Management Committee (URMC)

PROJECT UPDATE | SEPTEMBER 7, 2010

Presented by Chris Foster and Sarah Jacobson, Committee Co-Chairpersons

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## Committee Update

### Executive Summary

#### September 2010: Steering Group, Committee Membership, Defined Scope/Goals, Identification of Committee Projects and Priorities

A steering group has been established within the overall University Records Management Committee (URMC) to guide the development of project plans, goals and timelines. All members of the Steering Group are URMC founding members. Currently the URMC Steering Group consists of the URMC co-chairs Chris Foster (University of North Texas) and Sarah Jacobson (State Library and Archives Commisison (TSLAC)); Angela Ossar of TSLAC; Mary Lou Carpenter of the University of Texas (UT) System; Maryrose Hightower-Coyle of UT Austin; and Leo Yanez of UT Brownsville.

In August, the URMC Steering Committee members met in Austin at the State Records Center to discuss the overall purpose of the URMC as well as plans for extending membership offers to interested records management professionals in Texas' public universities. During this meeting, twelve potential committee members were identified by the steering group. In addition to these twelve potential members, the steering group discussed methods for communicating information to university records management officers and other professionals who might be interested in serving on the URMC. The group agreed that the best method for reaching out to interested individuals is through online communications tools hosted by The State and Local Records Management Division of TSLAC (Texas Record Blog, URM Listserv, etc). The State and Local Records Management Division will be adding information about the University Records Management Committee to its various online communications tools beginning in September 2010. Individuals who are interested in joining the University Records Management Committee are being directed to the committee chairpersons and the steering group. The goal is to have committee membership that is representative of all public universities and/or university systems. A full list of current URMC members is located in the Membership section within this report.

During the URMC Steering Committee meeting in August, the group evaluated the current scope and goals of the committee. During this meeting, the steering group developed a revised scope and goals list. The original committee scope indicated that the URMC would "evaluate the status of records management programs in Texas' higher education institutions". This statement has been further clarified by the addition of four characteristics that will be evaluated: 1) organizational records and information management philosophies, 2) organizational structure, 3) ability to influence organizational change and 4) the evolution of records management programs over the past fifteen years.

## Current Project Updates

### Collaboration of records management personnel – statewide

On July 6-7, 2010, Sarah Jacobson and Angela Ossar presented the first ever University Records Management Basics workshop. Held at the University of Texas at Arlington's E.H. Hereford University Center, the workshop sought to address some of the particular challenges of managing records in the state university environment. The class was attended by officials (Records Management Officers and other university archives and records management personnel) from seven state universities: Tarleton State University, Texas Southern University, the University of North Texas System, the University of Texas at Arlington, the University of Texas at Dallas, the University of Texas Pan-American, and the University of Texas at San Antonio. The workshop presented a much-needed opportunity for networking among university records management personnel. The workshop included the new class "State University Records Retention Basics," an adaptation of TSLAC standard State Records Laws and Retention Schedule Basics

classes that took into account the special challenges of working in state universities. Additionally, because of the size and complexity of university campuses, university RMOs must make special efforts towards communication and cooperation with departments.

The URMC has also received and is evaluating a proposal for the inclusion of a roundtable discussion of university records management professionals within the TSLAC 2011 e-Records Conference. Such an event would allow interested records management professionals to utilize an existing state-wide records management gathering as a venue for increased communication and sharing of knowledge. The URMC will continue to review the feasibility of this event and will discuss further details with the e-Records planning committee for possible action during the 2011 planning process.

### **University records retention schedule development**

The Records Management Assistance (RMA) unit of the TSLAC State and Local Records Management division is in the process of developing the Texas State Universities Records Retention Schedule (URRS). Currently, the Texas State Records Retention Schedule (RRS) serves as the framework for state agencies and state universities to develop their own records retention schedule. However, the RRS does not cover common program records of universities and State and Local Records Management felt that a common schedule for Texas' public universities is important in the continued development of university-level records management programs. The URRS will replace the current State of Texas RRS for Texas' public universities and would have more records series common to public universities across the State of Texas. RMA is currently in the first phase of this project - identifying common university program records series. RMA is using the University System of Georgia and the Alabama College System Records Retention Schedules as a baseline/guide for identifying common program records series. RMA will also analyze the current individual university records retention schedules to find common records series. The next phase of the project will include research and analysis on the common records series identified for any additional applicable federal and/or state laws and regulations. The proposed URRS will not replace Local Schedule JC. URMC will be instrumental during the analysis phase of common university program records.

### **Baseline assessment of university records management practices/programs**

The "baseline" assessment is one of the founding activities of the University Records Management Committee, as mentioned in the committee goals and scope. It is through this survey that the URMC will be able to collect and analyze data that can be utilized during the planning, development and execution of all URMC projects and planned deliverables, including the Model University Records Management Program (best practices) project.

Currently, the URMC Steering Group is developing aspects of the baseline survey as well as guidelines for the execution of the survey. During the month of September 2010, the steering group plans to complete the initial draft of the survey for review by all URMC members as well as the State Records Administrator. Once this first level review is completed, URMC will share the draft with RMICC members for discussion and any modifications. URMC intends for the baseline survey to be finalized and distributed to university records management professionals prior to the December 2010 RMICC meeting.

### **Model university records management program (best practices)**

The development of best practices, processes and guidelines for a "model" records management program which can be utilized by Texas' public universities depends on the successful execution of the Baseline Assessment of University Records Management Practices/Programs (survey) project. Once survey data is collected and analyzed by URMC members, planning for the model/best practices project will begin.

### **Proposed Future Projects**

- Evaluation of current Records Management Officer guidelines in regards to the operations of university records management programs.
- Review of electronic records management practices within university-wide administrative information systems

- Analysis of methods for training and engaging records management coordinators in university departments.

## Committee Background

### Purpose

The University Records Management Committee (“Committee” or “URMC”) shall exist

- 1) **to perform an analysis of the status of records management programs** in Texas’ higher education institutions, while serving as a tool for strengthening communication and encouraging collaboration among records management professionals,
- 2) **to develop best practices for the development of a model university records management program** which could be used in the creation of new records management programs and also the assessment and strengthening of existing programs in higher education institutions within Texas , and
- 3) **to make recommendations** to the State and Local Records Management Division of the State Library and Archives Commission (TSLAC) .

In fulfilling this purpose, the Committee will evaluate

- 1) the **status of records management programs** in Texas’ higher education institutions through surveying Records Management Officers and other records management professionals. Such evaluations will take into account records and information management philosophies, organizational structure, ability to influence organizational change and the evolution of records management programs within the past 15 years,
- 2) **major facets of an effective records management program** in a higher education environment,
- 3) **methods of communication and collaboration** among records management professionals in Texas’ higher education, and
- 4) **current guidelines and best practices** that shape the development and operation of university records management programs in Texas.

### Goals

- 1) To evaluate current records management activities in Texas’ public universities and develop best practices and ultimately a model records management program that is specifically targeted towards the needs of records managers in a higher education environment.
- 2) Such a model should be clear, have aspects that are easily understandable and applicable across organizations and emphasize collaboration throughout the organization. The model program will be based on evaluation of records managers in Texas public higher education, but will be able to serve as a resource for both public and private institutions in the development and continued improvement of records management programs.
- 3) To encourage communication and foster collaboration among records management professionals in Texas’ higher education and to evaluate the feasibility of a higher education roundtable at the annual e-Records conference.

- 4) To make recommendations to the State and Local Records Management Division of TSLAC that will align with existing TSLAC goals in the betterment of university records management activities within the State of Texas.

## Membership

<u>Name</u>	<u>Membership Type</u>	<u>Agency Represented</u>
Chris Foster, <i>Assistant Compliance Director for Institutional Records Management</i>	Co-Chair Steering Group	University of North Texas System
Sarah Jacobson, <i>Government Information Analyst</i>	Co-Chair Steering Group	State Library and Archives Commission (State and Local Records Management Division)
Mary Lou Carpenter, <i>Records Manager</i>	Member Steering Group	UT System Administration
Meg Carpenter, <i>Records Manager</i>	Member	Texas A&M University
Anne Comeaux, <i>Assistant Library Director for Special Collections</i>	Member	UT Health Sciences Center at San Antonio
William Dodd, <i>Director of Purchasing and Records Management</i>	Member	UT Brownsville
Claire Galloway, <i>University Archivist</i>	Member	UT Arlington
Maryrose Hightower-Coyle, <i>Records Management Officer</i>	Member Steering Group	UT Austin
Sherry Lyons, <i>Records Manager</i>	Member	UT Health Sciences Center at Houston
R. Brooks Moore, <i>Assistant General Counsel</i>	Member	Texas A&M University System
Dusty Norwood, <i>Director of Distribution Services &amp; Chief</i>	Member	UT Medical Branch

<i>Records Management Officer</i>		
Angela Ossar, <i>Government Information Analyst</i>	Member Steering Group	State Library and Archives Commission (State and Local Records Management Division)
Gloria Salazar, <i>Records and Information Analyst</i>	Member	UT Pan American
Lynn Whitfield, <i>University Archivist</i>	Member	Texas Tech University
Leonel Yanez, <i>Records Management Coordinator</i>	Member Steering Group	UT Brownsville
Jan Ferrari, <i>Director and State Records Administrator</i>	Advisor	State Library and Archives Commission (State and Local Records Management Division)
Brenda Gunn, <i>Associate Director for Research and Collections</i>	Advisor	UT Austin
Zach Vowell, <i>Digital Archivist</i>	Advisor	UT Austin

## History

### Committee Summary

The University Records Management Committee (URMC) was formed by RMICC on March 4, 2010. It appointed Jan Ferrari, State Records Administrator (TSLAC) and Chris Foster, Assistant Director for Institutional Records Management (University of North Texas) as Co-Chairs of the committee. Since the formation of the University Records Management Committee, Ms. Ferrari has taken an advisor role to the committee and asked Sarah Jacobson, Government Information Analyst (TSLAC), to serve in her place as Co-Chair of the committee.

### Meeting Details and Other Committee Actions

#### **March 2010: University Records Management Committee Created**

Chris Foster, Assistant Director for Institutional Records Management at the University of North Texas presented a proposal to the Council to support the development of a committee that will perform an analysis of the status of records management programs within Texas higher education institutions. The committee, known as the University Records Management Committee (URMC) would evaluate several facets of current records management programs in colleges and universities in Texas with a goal of developing guidelines and best practices for University Records Management Officers to use in the development and continued evaluation and assessment of existing programs. The mission and goals of this committee align with the strategic plan of the State and Local Records Management Division of the State

Library and Archives Commission. The URMC will also serve as a method for allowing collaboration among records management personnel in Texas higher education. RMICC expressed interest in the potential creation of such a committee and voted to support the creation of the committee. It was suggested that Jan Ferrari and Chris Foster be appointed as co-chairs of the committee (Ferrari, pending the approval of Peggy Rudd).

#### **April/May 2010: Committee Development, Selection of Co-Chair and University Based Retention Schedule Research**

Following the March 4, 2010 RMICC meeting, Jan Ferrari confirmed her involvement with the University Records Management Committee will be in an advisory capacity. Cathy Hartman asked Jan Ferrari and Chris Foster to select a replacement for Ms. Ferrari as co-chair of the committee. Both Jan Ferrari and Chris Foster agreed that Sarah Jacobson, Government Information Analyst at TSLAC would be best suited to serve as co-chair.

Chris Foster has worked to develop the methods of communication and collaboration for committee members located across Texas. The University of North Texas has developed a SharePoint intranet site which can be utilized by members of the University Records Management Committee to develop the committee's formal project plan, Records management officer (RMO) survey development, membership recruitment, online collaboration and the transmission of committee information.

The Records Management Assistance (RMA) unit of the TSLAC State and Local Records Management division is in the process of developing a project plan for the creation of the State Universities Records Retention Schedule (URRS). The URRS will replace the current State of Texas Records Retention Schedule (RRS) for universities and would have more records series common to universities across the State of Texas. The URMC will be instrumental during the analysis phase of common university program records.

### **RECOMMENDATION**

No Recommendation at this time.

## Appendix C. Electronic Records Management Conferences and Training

### Progress Report 2009 and 2010 Training Sessions Held

The State Library and Archives Commission/State and Local Records Management Division (SLRM) offered several classes related to electronic records management. Classes in areas other than Austin were usually regional classes served several local governments.

	Date	Place	Attendees		Total
			State	Local	# Attendees
<b>2009</b>					
E-Records Conference	10/9/2008	Austin	230	19	249
Managing Electronic Records 01	9/24/2008	Austin	33	0	33
Managing Electronic Records 01	10/16/2008	Austin	2	49	51
Miscellaneous RM Topics 04	11/14/2008	Rosenberg	0	55	55
Miscellaneous RM Topics 07	11/25/2008	Austin	246	334	580
Managing Electronic Records 03	1/20/2009	Austin	2	28	30
Managing Electronic Records 04	2/10/2009	Austin	0	27	27
Managing Electronic Records 02	2/26/2009	McAllen	0	99	99
Managing Electronic Records 01	4/7/2009	Austin	0	7	7
Managing Electronic Records 02	4/28/2009	Austin	17	8	25
Managing Electronic Records 03	5/6/2009	Liberty	0	22	22
<b>Total</b>			<b>530</b>	<b>648</b>	<b>1178</b>
<b>2010</b>					
	Date	Place	Attendees State	Attendees Local	Total # Attendees
E-Records Conference	11/6/2009	Austin	195	18	213
Managing Electronic Records 02	10/7/2009	Austin	7	39	46
Managing Electronic Records 03	10/29/2009	Austin	4	24	28
Miscellaneous RM Topics 04	11/4/2009	College Station	0	100	100
Records Management Basics/Managing Electronic Records	11/18/2009	Austin	0	12	12
Miscellaneous RM Topics 06	12/1/2009	Caldwell	0	20	20
Miscellaneous RM Topics 07	12/4/2009	Georgetown	0	100	100
Records Management Basics 2	2/10/2010	Austin	0	44	44
Records Management Basics 3	4/27/2010	Austin	0	28	28
Managing Electronic Records 06	3/17/2010	Austin	2	26	28
Managing Electronic Records 04	1/7/2010	Brownsville	0	100	100
Managing Electronic Records 05	1/28/2010	Austin	10	22	32
State Records Management Basics 1	3/31/2010	Austin	21	0	21
Records Management Basics 4	5/20/2010	Lubbock	0	51	51
Records Management Basics 5	6/9/2010	El Paso	0	51	51
State Records Management Basics 2	5/11/2010	Austin	9	0	9
Managing Electronic Records 07	6/16/2010	Austin	3	18	21
State Records Management Basics 3	7/20/2010	Austin	13	0	13
Records Management Basics 7	8/3/2010	Austin	0	14	14
Miscellaneous RM Topics 15	2/19/2010	San Marcos	0	80	80

Miscellaneous RM Topics 23	6/17/2010	Baytown	0	50	50
Miscellaneous RM Topics 24	6/22/2010	College Station	200	0	200
Managing Electronic Records 08	6/22/2010	Austin	7	7	14
Managing Your Email	7/22/2010	Webinar	45	13	58
Managing Electronic Records 09	7/29/2010	Austin	2	4	6
University RM Basics 1	7/6/2010	Arlington	40	2	42
Managing your email	8/12/2010	Webinar	40	8	48
Records Management Basics 8	8/17/2010	Austin	0	16	16
Managing your email	8/26/2010	Webinar	42	10	52
Law Enforcement RM Basics 1	8/31/2010	Benbrook	0	45	45
<b>Total</b>			<b>640</b>	<b>902</b>	<b>1542</b>
<i>Grand Total</i>			<i>1170</i>	<i>1550</i>	<i>2720</i>

In the past year, SLRM also began offering online classes and webinars.

Online classes:

- State Records Retention Basics (state only)
- Control Schedule Basics (local government only)
- Disaster Planning
- Forms Management

Webinars (\* indicates classes offered in the fall of 2010):

- Managing Your Email
- Preservation Basics
- Records Management for School Districts
- Tips for a Successful Imaging Project\*
- Records Inventory and Appraisal: Determining Appropriate Retention Periods for Government Records\* (state)
- IPER: Essential Records\* (registration is through IPER)

TSLAC/SLRM partnered with other organizations to provide training. Partnerships include:

- Texas Municipal Courts Education Center (TMCEC). TMCEC asked the TSLAC/SLRM team to present Disaster Planning sessions at all of their seminars through July 2011.
- RMICC's University Records Management Committee (URMC) – SLRM analysts work with UNT and other universities through RMICC.
- Texas Division of Emergency Management - ongoing presentations at quarterly emergency management workshops.
- Texas Education Agency - ongoing presentations at Charter School orientation
- Council of State Archivists, Intergovernmental Preparedness for Essential Records (COSA/IPER) - essential records webinars began in October 2010.

## Recommendation

RMICC has no recommendation at this time.

## Appendix D:

### Texas State Library and Archives Commission 2012-2013 LAR Exceptional Item Request

**Short Name:** Texas Electronic Records Archives (TERA)

**Full Name:** Enable the agency to fulfill its legislative mandate to identify, acquire, preserve and provide access to archival state records created in electronic formats.

**Strategy:** 02-01-01 Provide Access to Information and Archives

**Requested amount:** FY 2012 – \$199,700; FY 2013 - \$143,300 for the following:

- A part-time electronic records consultant in FY 2012;
- Two electronic records specialists FTEs;
- Consultation with an implementation expert from state whose program we decide to emulate (across the biennium);
- Travel, supplies, equipment and appropriate archival electronic records storage.

In FY 2012 TSLAC will apply for up to \$300,000 in federal funds grant funds to augment state investment in this initiative over the course of FY 2013 and 2014.

#### **Description / Justification:**

This would allow the Texas State Library and Archives Commission (TSLAC) to plan, implement and operate an electronic records and archives program for the state.

This addresses a SAO Report critical of TSLAC's inability to accept and store electronic records. TSLAC lacks the resources needed to provide essential, requested electronic records management and archive services to state agencies. Significant amounts of critical electronic data documenting the operations of state government have already been lost because agencies are not equipped to manage or preserve records with long-term value to Texas. This item would also increase TSLAC's ability to respond to the growing demand for digital images of paper based records and the management of that rapidly increasing collection.

Funding is needed for qualified consultants, two electronic records specialists, resources and necessary travel for this program. The consultant will work with the ARIS and SLRM directors and the electronic records specialists to research and evaluate requirements needed to plan the infrastructure of an archival electronic records program and will write a federal grant proposal for implementation funds. The electronic records specialists will work with the consultant, IRT, state agencies, DIR, and RMICC to research, gather and evaluate requirements for an electronic records and archives program, and will assist in determining program direction and goals. The electronic records specialists will assist in program development and be responsible for implementation and daily operations.

Essential actions: developing a pilot program with selected state agencies, investigating current practices and needs, determining requirements for procurement of archival storage/hosting, developing standards and tools for system platform and metadata, and implementing a strategy for streamlining scheduling as well as capture, appraisal, migration and preservation of electronic records and archives.

**External / Internal Factors:**

External factors: Legal, public, and general awareness of records management issues, including security and privacy, require more effective long-term management and preservation of electronic records of the state of Texas. The public expects state government to document its actions and make them available to the taxpayers over time. Lack of appropriate recordkeeping processes put agencies at risk to perform their missions and prove accountability to their constituents. TSLAC is the logical agency to operate an electronic archives and records management program; but it will need support from other agencies. Once the program is established, ongoing operational costs could be supported by participating state office and agencies.

Internal factors: The current inability to accept and store electronic records and archives should be addressed to ensure these state resources are appropriately preserved by the Texas State Library and Archives Commission. Current staff lacks the technical skills and resources to develop a program for electronic records/archives for the state of Texas. There is no funding in place at present to develop a centralized program to meet the needs of state agencies in electronic records storage and management, as well as the process of appraisal and transfer of electronic records with of archival value.

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