

Records Management Interagency Coordinating Council



Biennial Report

2017-2018

November 2018

Council Members and Delegates

Acting Chair, Todd Kimbriel, Deputy Executive Director

Department of Information Resources

Representing the Department of Information Resources

Vincent Houston, Director Administrative Services Division

Office of the Secretary of State

Representing the Secretary of State

Hope Morgan, Director of Technology Research

Health and Human Services Commission

Serving as auxiliary voting member

Stephen Quick, Records Management Officer

Office of the Comptroller of Public Accounts

Representing the Comptroller of Public Accounts

Michael Reagor, Audit Research Specialist

Texas State Auditor's Office

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

Mark Smith, Director and Librarian

Texas State Library and Archives Commission

Representing the Texas State Library and Archives Commission

Ciaran Trace, Associate Professor

University of Texas at Austin, School of Information

Serving as auxiliary voting member

April Norris, Chief Information Governance

Office of the Attorney General

Representing the State Attorney General

Jeff Peden

Texas Workforce Commission

Representing the IRM seat on the council

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Part I: Executive Summary

The Records Management Interagency Coordinating Council (RMICC) reviews the activities of member agencies, studies other records management issues, and submits reports of its findings to the governor and Legislature in even-numbered years. It also adopts policies (which are adopted in turn as rules by each member agency) that coordinate the members' records management activities and make other improvements to state records management.

During the 2017-2018 reporting period, RMICC has supported the continued progress of the University Records Management Committee (URMC), the State Agency Coordinating Committee's (SACC) Records Management Subcommittee, and the Electronic Records Review Panel. RMICC has also provided an updated educational brochure on records and information management for legislators and state agencies/universities. In addition, RMICC coordinates and facilitates the inclusion of records management related questions into the Information Resources Deployment Review (aka "IRDR") that is issued by DIR every even numbered year.

Based on the work of the Council, RMICC has several recommendations to the Legislature, state agencies, and the Texas State Library and Archives Commission.

Recommendations to Improve Records Management Programs

To the Legislature

RMICC fully supports the following Texas State Library and Archives Commission (TSLAC) Initiatives:

- Ensuring Sufficient Storage Capacity for State Records

Due to a change in the vendor list when the State renewed records storage services contracts in November 2017, there are a large quantity of state records that must be relocated. The State Records Center's projections for reaching capacity went from six years to less than one overnight. TSLAC is requesting a short-term solution by reallocating 20,000 square feet of warehouse space in state owned facility in combination with a 25-year solution through expanding at its current location. Without creating additional storage capacity TSLAC will not be able to store records for state agencies by the end of 2019. Forcing agencies to continue to maintain records in multiple locations, losing efficiencies in time and money.

- Cybersecurity to Protect State Resources

The agency's request to implement the recommendations of the Gartner IT security study, which was commissioned by DIR in 2015, is critical to modernize and protect the agency's technology infrastructure. The request would equip the agency to hire an Information Security Officer and a security analyst (key recommendations of the study),

as well as to implement infrastructure security enhancements as detailed by the report. TSLAC's extensive archival holdings contain a significant amount of personally identifiable information that is confidential, and much of it in electronic format. A breach of those materials would represent a significant liability to the state.

- Targeted Salary Increases to Recruit and Retain a Qualified TSLAC Workforce

To be competitive in areas that are critical to the core mission of TSLAC, key positions need to have market adjustments to salaries to allow the agency to meet legal obligations in providing mandated services. The average currently paid by the agency in targeted key positions is below both the midpoint of the state salary range and the average paid for the same positions by other state agencies. Recruitment and retention of a qualified agency workforce will allow greater value in delivery of services to state and local government and constituents.

- Maintaining Relationship Between TSLAC and RMICC

As TSLAC conducts a self-review in preparation for their upcoming sunset review in 2019, RMICC recommends the continuation of the TSLAC and RMICC partnership. Continuation of this partnership will help ensure information access is provided to citizens, and that transparency is supported through compliant state government records management programs.

To State Agencies

Identify solutions for managing the explosion of information contained in numerous electronic systems throughout the state. Agencies can also contribute significantly towards improvements for managing government records with these two recommendations:

- Improve executive alignment of the agency's records management program to facilitate proactive management and best practice.
- Increase and promote electronic records management collaborations.

Records management programs in state agencies, local governments, and universities should be aligned with the compliance office or with a similar department having the authority and resources to apply records management policies throughout the entire organization.

RMICC fully supports the following three recommendations of the SACC Records Management Subcommittee:

- **Increase cross-departmental engagement and coordination with agency Records Management Officers (RMOs).** Records Management (RM) is most effective when included from the beginning of all business processes. RM content should be included in agency policies and mandatory new employee trainings. RM duties for all agency employees should be clearly defined as part of employees' job descriptions. RM standards should be incorporated into requirements language for electronic application and system procurements and into vendor requirements in contracts for services.
- **Recognize the role of RM in the individual agency.** The RM program requires full-time, dedicated staff to be effective. The RM Subcommittee requests that SACC and RMICC endorse the Texas State Library and Archives Commission's recommendation to the State Auditor's Office to establish a job classification series specific to RM professionals.
- **Support RM's efforts to keep your agency current.** The landscape of RM changes frequently along with rapidly changing technology. To stay relevant, agency policies must use modern language to talk about RM processes and solutions. Agencies should support ongoing RM training for all staff, but especially for RM professionals. RM professionals must stay abreast of the latest developments in the field to operate RM programs efficiently, effectively, and in compliance with laws and requirements. The Texas State Library and Archives Commission and the Department of Information Resources partner to offer the annual e-Records Conference in the fall. Agencies should help support and promote the annual e-Records Conference to offer continuing education for technology and RM professionals in the context of Texas government and to network with other technology and RM professionals.

The Subcommittee sees these actions as the foundation of a strong RM culture in state agencies and the first steps toward achieving the benefits of robust and compliant RM programs. These actions were communicated to the Executive Directors of the State Agency Coordinating Council. See Appendix B.

To the Texas State Library and Archives Commission

TSLAC should continue to expand its records management outreach through ongoing partnerships with RMICC, SACC's Records Management Subcommittee, and other state agencies.

The State and Local Records Management Division (SLRM) of TSLAC works with state agencies, local governments, and universities on records related issues through Records Management Officers in each organization. In an effort to gain a comprehensive understanding of how electronic records are being collected and used within agencies, RMICC recommends also reaching out to the Information Resource Managers within those organizations.

The Annual e-Records Conference, co-sponsored by TSLAC and DIR, is a very successful and effective educational activity for government information management professionals. Continuation of this partnership between TSLAC and DIR to provide this educational opportunity is recommended.

Project Reports

University Records Management Committee

The University Records Management Committee (URMC) was established to analyze the status of records management programs in Texas's higher education institutions; to encourage collaboration among the various university records management professionals; investigate best practices to develop a model university records management program; and make recommendations to the State and Local Records Management Division of the Texas State Library and Archives Commission (TSLAC) – especially in the development of a university general retention schedule.

In the past biennium, the Records Management Assistance units of TSLAC have begun the process of revisiting the Texas State Universities Records Retention Schedule (URRS) to prepare the schedule for commission review and eventual administrative rulemaking. This process includes schedule formatting and structure decisions, as well as following up with former members of the URRS project committee to address any lingering issues or concerns. TSLAC set a tentative timeline for approval and plan on presenting the schedule to the commission in early 2019.

Recently, the head of the URMC Steering Group has been reassigned. Jerry Sorrells of Texas State Technical College has accepted the responsibility of heading the URMC for the next biennium with TSLAC's RMA providing ancillary support to ensure Mr. Sorrells' success.

During the next biennium, with new leadership, the URMC will move forward on identifying the next area of focus and moving forward to address the needs of the state agencies regarding Records Management.

SACC Records Management Sub-Committee

RMICC collaborated with the Texas State Library and Archives Commission (TSLAC) in 2016 to propose the creation of the Records Management Subcommittee under the State Agency Coordinating Committee (SACC). The committee was created to bring awareness of the importance of appropriate records management practices and standardization of practices across the state's largest agencies, which comprise the SACC membership.

Since the establishment of the subcommittee, collaboration among the SACC agencies' Records Management Officers/Managers has increased. The committee is steadily working towards

standardization across agencies of records management practices to enhance compliance with state laws and bring continued awareness of common records management challenges.

Electronic Records Review Panel

Supporting the development of guidelines and best practices for the transition of electronic records to the Texas Digital Archive is a RMICC strategic initiative. The Electronic Records Review Panel (ERRP) was formed in 2015 as part of this RMICC initiative.

ERRP's goal is to foster and facilitate better communication between various electronic records initiatives across the state and the development of the Texas Digital Archives. By identifying electronic records related initiatives, ERRP will keep RMICC informed of such developments across the state. ERRP will also contribute to developing solutions to issues these initiatives address.

This biennial report details RMICC's background, activities, findings and recommendations. We encourage review of the full report for more information regarding the work of the Council and subcommittee recommendations.

Part II: Background of RMICC

Composition, Charges, Mission and Goals

The Records Management Interagency Coordinating Council 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, RMICC's responsibilities were expanded to implement Senate Bill 897. During the 78th Legislative Session, 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 80th Legislative Session removed one member from the Council. (Government Code 441.203)

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:

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.

Goals for 2019-2020:

- To facilitate the awareness of and access to practical and appropriate records management resources for state and local government entities.
- To support the Texas State Library and Archives Commission in the further development of the Texas Digital Archives.
- To support initiatives for the appropriate development of electronic records management for state and local government.

History and Accomplishments

The organizing meeting of the Records Management Interagency Coordinating Council was held on November 30, 1995. RMICC's chair rotates among the voting members. In the last 21 years, RMICC, with the help of state agencies and state universities, has published biennial reports and special projects reports, and fostered formation of records management focus groups including:

- Updated informational materials for legislators and for state agencies and universities (2018)
- Formation of the SACC Records Management Subcommittee (2016)
- Formation of the Electronic Records Review Panel (2015)
- Educational material for legislators and for state agencies and universities (2014)
- University Records Management Committee Report (2012)
- Best Practices Committee Report with Records Management (2012)
- Best Practices Committee and University Records Management Committee Reports (2010)
- Records Management Officer Job Guidelines (2008)
- Electronic Records Management in Texas Government Survey Report (2003)
- Electronic Records Research Report (1998)

Publications are available on the Council's website at <https://www.rmicc.state.tx.us/> as standalone reports or as attachments to biennial reports.

Role in Current and Future State Government Records Management

RMICC's members represent major guiding forces in state government. These member agencies have vested interests in their own and other agencies' records management practices. Working together, RMICC's members provide necessary and unique perspectives to current and future records management challenges and solutions as seen in the examples below.

The Texas State Library and Archives Commission continues to provide records management assistance and archival services to all state agencies.

- Records management assistance services include standard retention schedules, administrative rules, agency retention schedule review and approval, training, consulting, inactive records storage, imaging and micrographic services. The commission also works with agencies using Council on Competitive Government's digital imaging services and secure document destruction contracts.
- Archival services include archival record review and archival record accession into the State Archives. The state archivist and archival staff identify and protect historical records as well as those records being created today. The State Archives provides access to archival materials for educators, students, researchers, government entities and others.

The Department of Information Resources is the technology expert, providing administrative rules as well as the ability to purchase technology solutions. Their close association with RMICC focuses on records created, stored, managed or migrated in various technologies.

The Office of the Comptroller provides oversight and guidance to agencies regarding financial, payroll, travel and other fiscal areas. For example, a travel audit may highlight areas in which procedures and information may be improved by an agency's records management practices. The Comptroller's centralized technology implementations (i.e., Project One, USAS, USPS, SPA, HRIS) affect agencies' records and retention schedules.

The Office of the Attorney General provides the legal perspective to agencies regarding records needed for litigation and the discovery process including e-discovery. The office also investigates citizen complaints regarding difficulty accessing agencies' records under the Public Information Act or the Open Meetings Act.

Each member of RMICC contributes to a balanced and informed view of records management in Texas government today.

Electronic records are a major focus for RMICC. Technology changes quickly, and agencies sometimes struggle to manage electronic records and keep policies current as new technologies are adopted. Social media, cloud and mobile computing were not the hot topics in 1995 that they are in 2018. The Council will continue to study electronic records management at state agencies and make future recommendations to the Legislature.

Part III – RMICC Project Reports

University Records Management Committee – The University Records Management Committee (URMC) was established to analyze the status of records management programs in Texas’s higher education institutions; to encourage collaboration among the various university records management professionals; investigate best practices to develop a model university records management program; and make recommendations to the State and Local Records Management Division of the Texas State Library and Archives Commission (TSLAC) – especially in the development of a university general retention schedule.

Current Updates

In the past biennium, the Records Management Assistance units of TSLAC have begun the process of revisiting the Texas State Universities RECORDS retention Schedule (URRS) to prepare the schedule for commission review and eventual administrative rulemaking. This process includes schedule formatting and structure decisions, as well as following up with former members of the URRS project committee to address any lingering issues or concerns. TSLAC set a tentative timeline for approval and plan on presenting the schedule to the commission in early 2019.

Recently, the head of the URMC Steering Group has been reassigned. Jerry Sorrells of Texas State Technical College has accepted the responsibility of heading the URMC for the next biennium with TSLAC’s RMA providing ancillary support to ensure Mr. Sorrells’ success.

Future Projects

During the next biennium, due to the reassignment, the URMC Steering committee will develop the group and provide future projects for core focus. URMC previously identified nine strategic directions to research and develop. During the state RMO meeting, the nine strategic elements were discussed and it was agreed that the list needed to be reassessed and updated prior to starting the next project. The group will then introduce a draft of strategic directions, and work to identify consensus on the next project. The URMC will continue to identify appropriate areas to address unique records and information management needs for institutions of higher education. In addition, the URMC will explore ways to collaborate with other workgroups, such as the SACC Records Management Subcommittee and the Electronic Records Review Panel. With TSLAC as facilitator, URMC will meet and focus on wants and needs of RMOs at state agencies.

Committee Background

Original Purpose and Charge

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

1. To perform an analysis of the status of records management programs in Texas’s 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 Texas State Library and Archives Commission (TSLAC).

In fulfilling this purpose, the Committee will evaluate:

1. The status of records management programs in Texas’s higher education institutions through surveying Records Management Officers and other records management professionals ;
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’s 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’s 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. To ensure the model records management program is clear, has aspects that are easily understandable and applicable across organizations and emphasizes 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’s higher education.

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.

SACC Records Management Sub-Committee

RMICC collaborated with the Texas State Library and Archives Commission (TSLAC) to foster a Records Management Subcommittee under the State Agency Coordinating Committee (SACC). The committee provides the opportunity to bring awareness of the importance of records management and related issues to the executive level of the state’s largest agencies, which comprise the membership of SACC.

Records Management Subcommittee Members/Alternates as of June 2018:

Name	Agency	Role
TJ Wasden	Department of Family and Protective Services	Primary
Heather MacClean	Department of Family and Protective Services	Alternate
Christi Brisky	Department of Information Resources	Primary
Todd Kimbriel	Department of Information Resources	Alternate
Jessica Ballew	Department of Public Safety	Alternate
Sarah Hendricks	Department of Public Safety	Chair; Primary
Jenny Singer	Health and Human Services Commission	Primary; Vice Chair
John Schooley	Health and Human Services Commission	Alternate
Cynthia Martinez	Health and Human Services Commission	Alternate
Todd Kimbriel (acting)	Management Interagency Coordinating Council (RMICC)	Primary
Crystal Alvarado	Texas Commission on Environmental Quality	Primary
Michael Chamberlain	Texas Commission on Environmental Quality	Alternate
Karen Hall	Texas Department of Criminal Justice	Primary
Carie Beaty	Texas Department of Criminal Justice	Alternate
Elizabeth Cooper	Texas Department of Insurance	Primary
Melissa Burkhart	Texas Department of Insurance	Alternate
Dana Colbert	Texas Education Agency	Primary
<i>Vacant</i>	Texas Education Agency	Alternate
Karol Davidson	Texas Juvenile Justice Department	Primary
<i>Vacant</i>	Texas Juvenile Justice Department	Alternate
<i>Vacant</i>	Texas Parks & Wildlife Department	Primary
<i>Vacant</i>	Texas Parks & Wildlife Department	Alternate
Craig Kelso	Texas State Library and Archives Commission	Primary

Nanette Pfister	Texas State Library and Archives Commission	Alternate
Wayne Whyte	Texas Department of Transportation	Secretary; Primary
Cheryl Grant	Texas Department of Transportation	Alternate
Carolyn Williams	Texas Workforce Commission	Primary
Elida Arriaga	Texas Workforce Commission	Alternate
Jay Franco	Texas Workforce Commission	Alternate

Current Project Update

The subcommittee has held monthly meetings since its establishment in 2016. In addition, committee members traveled to SACC agencies for records management demonstrations to gain a better understanding of how records are managed and the tools that are utilized to manage both electronic and paper mediums. Committee members conducted a survey and ranked top challenges faced in their daily jobs and developed a presentation to the SACC that resulted in a letter of recommendations, which was endorsed and delivered to SACC agency heads in June 2018. The Records Management Subcommittee chair has provided regular updates of activities and progress to SACC and RMICC. Through the course of the regular updates, the SACC Audit and IT subcommittee requested presentations on records management practices. The requested presentations were successful and strengthened cross discipline knowledge.

Future Plans

The Records Management Subcommittee plans to provide information and guidance on best practices for records and information management to encourage engagement with Records Management Officers and Records Managers. For distribution within individual agencies, this information will be developed in a manner that can be easily modified to reflect each individual agency's culture and mission. To increase awareness and incorporate expertise of other subject areas, the subcommittee will collaborate with other SACC subcommittees. This will encourage the transfer of knowledge across disciplines (Legal, Audit, Process Improvement, IT, etc.) providing more comprehensive guidance to agencies of records and information management best practices. The subcommittee chair will continue providing regular updates to SACC and RMICC as appropriate. TSLAC and RMICC will continue to participate as subject matter experts and resources for the subcommittee.

Electronic Records Review Panel –

Current Project Update

A RMICC strategic initiative is to help support the development of guidelines and best practices for the transition of electronic records to the Texas Digital Archive. The Electronic Records Review Panel (ERRP) was formed in 2015 to pursue this strategic initiative.

ERRP's goal is to foster and facilitate better communication between various electronic records initiatives across the state and the development of the Texas Digital Archives. The workgroup met in March of 2018 and discussed its role in bridging the gap between the TEIM group established by state data coordinator, Ed Kelly, and RMICC since many of the ERRP are attending both meetings. The ERRP

agreed that it could serve as the “eyes and ears” of RMICC in these broader groups, keeping RMICC informed of what was happening and looking for ways to ensure the RMICC interests were being addressed. TEIM was looking into developing a Data Governance Structure and process for the state’s Open Data Portal and eventually submitting a report to the legislature for action. The ERRP discussed how various members participation could work on bringing records/data management to the TEIM group and keeping both sides (TEIM and RMICC) informed of what is happening. It was also suggested to reach out to Mr. Kelly and regularly invite him to speak to the ERRP to maintain dialogue between the groups. The ERRP is working to develop a regular and consistent meeting schedule and potentially add a web/call-in component to increase participation.

Current ERRP Members:

- Mark Myers, Chair
Texas State Library and Archives Commission/ Archives and Information Services
- Craig Kelso
Texas State Library and Archives Commission/ State and Local Records Management Division
- Hope Morgan
Texas Health and Human Services Commission
- Angela Ossar
Office of the Governor
- Nannette Pfiester
Texas State Library and Archives Commission/ State and Local Records Management Division

Part IV: Recommendations

RMICC offers several key recommendations to the Legislature to improve records management programs for Texas state agencies and universities.

Recommendations to the Legislature

RMICC fully supports the following Texas State Library and Archives Commission (TSLAC) Exceptional Item Requests.

- Sufficient Storage Capacity for State Records

Due to a change in the vendor list when the State renewed records storage services contracts in November 2017, there are a large quantity of state records that must be relocated. The State Records Center's projections for reaching capacity went from six years to less than one overnight. TSLAC is requesting a short-term solution by reallocating 20,000 square feet of warehouse space in state owned facility in combination with a 25-year solution through expanding at its current location. Without creating additional storage capacity TSLAC will not be able to store records for state agencies by the end of 2019. Forcing agencies to continue to maintain records in multiple locations, losing efficiencies in time and money.

- Cybersecurity to Protect State Resources

The agency's request to implement the recommendations of the Gartner IT security study, which was commissioned by DIR in 2015, is critical to modernize and protect the agency's technology infrastructure. The request would equip the agency to hire an Information Security Officer and a security analyst (key recommendations of the study), as well as to implement infrastructure security enhancements as detailed by the report. TSLAC's extensive archival holdings contain a significant amount of personally identifiable information that is confidential and much of it in electronic format. A breach of those materials would represent a significant liability to the state.

The resources of TSLAC, which includes the State Archives, are priceless. A Gartner study identified areas for which improvements were recommended to achieve better security of agency systems and resources.

- Targeted Salary Increases to Recruit and Retain a Qualified TSLAC Workforce

To be competitive in areas that are critical to the core mission of TSLAC, key positions need to have market adjustments to salaries to allow the agency to meet legal obligations in providing mandated services. Approximately 70 percent of TSLAC staff are below the median of their state salary range. The average salary currently paid by the

agency in targeted key positions is below both the midpoint of the state salary range and the average paid for the same positions by other state agencies. Recruitment and retention of a qualified agency workforce will allow greater value in delivery of services to state and local government and constituents.

- Maintaining Relationship Between TSLAC and RMICC

As TSLAC conducts a self-review in preparation for their upcoming sunset review in 2019, RMICC recommends the continuation of the TSLAC and RMICC partnership. Continuation of this partnership will help ensure information access is provided to citizens, and that transparency is supported through compliant state government records management programs.

See Appendix A for details on the Legislative Appropriations Request exceptional items.

Recommendations to State Agencies

Identify solutions for managing the explosion of information contained in numerous electronic systems throughout the state. Agencies can also contribute significantly towards improvements for managing government records with these two recommendations:

- Improve strategic organizational alignment of the records management program to better support information governance for the organization
- Develop electronic records management partnerships

Records management programs in state agencies, local governments, and universities should be aligned with the compliance office or with a similar department having the authority and resources to apply records management policies throughout the entire organization. Executive level records management support is crucial to effectively communicate, encourage, monitor, train and ensure that all departments comply with Texas Government Code Chapter 441 regarding Records Management, Texas Government Code Chapter 552 regarding the Public Information Act, and all applicable internal policies for managing records, regardless of media.

Agencies should create executive level, cross-functional, internal partnerships to address electronic records management. Partners should include executive, management, compliance, records management, information technology, archives, legal, audit, emergency management, departments, program areas, records creators, and other stakeholders as appropriate. Leadership is the key to successfully aligning records management in the organization. It must begin with the agency leader and senior management, but it cannot stop there. Records management touches all aspects of an organization and state agencies and universities should have an approach that allows the records manager to contribute significantly to achieving effective records management and overall agency goals.

In today's environment where all levels of an agency are creating electronic records, records

management programs may find it challenging to appropriately manage the deluge of information the agency creates. In addition, records managers are most likely not the legal authority, the information technology specialist, or the subject matter expert for every business unit of the agency. To conduct a compliant records management program that fosters appropriate public information access and transparency, it is important for agencies to create executive level, cross-functional, and internal partnerships to support the framework the records management program requires.

The management of business records by state agencies and universities is a fundamental responsibility of government. The purpose of records management is to ensure that an agency's business records are authentic and available to support the mission and operation of the agency.

Recommendations to the Texas State Library and Archives Commission

The Texas State Archives and Archives Commission (TSLAC) should expand its records management outreach through ongoing partnerships with RMICC, SACC's Records Management Subcommittee, and other state agencies.

The State and Local Records Management Division (SLRM) of TSLAC works with state agencies, local governments, and universities on records related issues through Records Management Officers in each organization. In an effort to gain a comprehensive understanding of how electronic records are being collected and used within agencies, RMICC recommends also reaching out to the Information Resource Managers within those organizations. Instead of creating a separate survey, RMICC recommends that SLRM develop a set of records management based questions for inclusion in the biennial Information Resources Deployment Review survey conducted by DIR.

The Annual e-Records Conference, co-sponsored by TSLAC and DIR, is a very successful and effective educational activity for government information management professionals. The conference seeks to improve electronic records management in Texas government by bringing together staff responsible for and interested in records management and information technology. Attendance for the conference has been growing steadily. In 2017 attendance reached a total of approximately 320, composed of state and local attendees from over 130 different state agencies and local governments. The 2018 conference is scheduled for Friday November 16 and record participation is expected. RMICC recognizes the tremendous opportunity this conference provides for state and local governmental organizations to share and discuss electronic records management issues and solutions. Continuation of this partnership between TSLAC and DIR to provide this educational opportunity is recommended.

As TSLAC undergoes their sunset review, RMICC supports the recommendation for the continuation of TSLAC and RMICC. Continuation of TSLAC and RMICC will help ensure information access is provided to citizens, and that transparency is supported through compliant local and state government records management programs.

Appendix A

**Texas State Library and Archives Commission
2020-2021 Legislative Appropriations Request
Exceptional items**

Item Name: Expanding TSLAC's state records facility for current and historical government records

Item Priority: 1

Total Request: \$26,400,000 (Not including debt service if financed via Texas Public Finance Authority)

Description/Justification:

Efficient access to the records of state and local agencies is vital to ensuring transparency in government and ensuring legal and financial accountability. Proper records management reduces liability and costs by shortening the time it takes to locate records for daily operations, reports, customer requests, audits, litigation, and identify historical records that should be preserved. TSLAC is mandated to establish state rules for the retention, preservation, and management of the records of state and local government. TGC, Sec. 441.182(a) & (e) requires the agency to operate the state records center. Sec. 441.181 requires preserving archival state records.

Construction of a new addition of 60,000 sq. ft. of records storage and archival space at the existing State Records Center on Shoal Creek will provide a secure and long-term strategy for the state to meet these mandates effectively, provide support to agencies, and promote transparency. The expansion will provide 32,000 square feet of storage for state records and 28,000 square feet of archival space (enough for approximately 100,000 cubic feet of records). This new space will be temperature and climate (humidity) controlled, include cold storage needed for archival preservation, and include shelving required for temporary and archival storage. It will also include 24/7 HVAC and security for the full space. A one-time General Revenue investment for this project will ensure adequate storage for over 20 years.

This project aligns with recommendations in the 2011 Texas State Government Effectiveness and Efficiency Report and the Texas Facilities Commission's 2009 analysis for archival storage. Expansion will allow for continued storage solutions for historical records and equips the State Records program to provide low cost storage, eliminating the need for agencies to maintain noncurrent records in expensive office space; lease warehouse space and add FTEs to manage their operations; require them to use more expensive non-state storage vendors; or compel them to spend funds on costly scanning of records with short-term retentions, as an ROI for scanning a box of stored records would not be realized for decades, well after the use of many records.

External/Internal Factors:

The urgent need for more records storage space at the State Records Center (SRC) is a direct result of the state's imperative that agencies seek more cost-effective means of retaining records that have not yet met retention requirements. The loss of a third-party vendor means state agencies must relocate more than 200,000 boxes. The SRC has proven to be more cost-effective than commercial storage, saving agencies over \$600,000 per year (20-year ROI), can store boxes for 50 years more economically than scanning, which does not achieve ROI until several decades.

Current storage capacity in existing facilities will be met by 12/19. While the agency is also requesting a short-term stop gap measure, the expansion of the SRC is needed for a viable, long-term strategy. Without both the short and long-term solutions, agencies will need to manage multiple storage contracts or will request funds for leasing their own storage space and FTEs to manage and circulate the records.

Additionally, the Lorenzo de Zavala Building, which was renovated in 2009, provided only a marginal increase in archival storage capacity, which is now near capacity with no option to expand. More than 40,000 cubic feet of archives are stored at the SRC, a space designed for warehousing noncurrent records without the environmental controls necessary for the preservation of unique historical documents. As state agencies transfer additional records to the State Archives, space is reduced for

other agency records. Cost savings for moving archival items to suitable storage and ensuring long-term preservation and availability for public access and inspection is immeasurable.

Item Name: Renovation of Promontory Point facility to meet immediate need for additional storage space

Item Priority: 2

Total Request: \$4,400,000 (Not including debt service if financed via Texas Public Finance Authority)

Description/Justification:

TSLAC will work with TFC to rehabilitate and reuse 20,000 sq. ft. of available state warehouse space for records storage suitability. Renovated space must be temperature and climate (humidity) controlled. Space will include 24/7 HVAC and security. Space is necessary to meet State Records Center (SRC) immediate storage needs. The project includes procurement and installation of shelving and required infrastructure. This space provides a solution that can be implemented quickly to address the anticipated large influx of state agency records that must be relocated from existing third-party storage facilities during FY2019 and FY2020 and allow space for ongoing state agency customers. The solution will provide 3 to 5 years of capacity, while the agency can build out the SRC to expand space to fully meet a 20-year growth plan.

SRC must be full cost-recovery, per Sec. 441.182(g). It will continue to be for day-to-day operations; however, a one-time General Revenue investment for both an immediate and long-term solution will ensure adequate storage for approximately 20 years and cost considerably less than leasing from a private company. The cost of using revenue bonds would require State Records Center to more than double current fees to user agencies at a time with many agencies are sustaining higher fees from third party vendors to remove boxes. GR bonds would allow the SRC to lower per monthly charges to customers. With the immediate concern that SRC will reach storage capacity by 12/19, this project to renovate existing state space will bridge the gap between the time the current SRC reaches capacity and the time a new construction of expanded space at Shoal Creek can be completed to equip the state with 20 more years of growth to protect the state's information assets.

Expansion will allow the State Records program to provide low cost storage solutions eliminating the need for agencies to maintain noncurrent records in expensive office

External/Internal Factors

The need for more records storage space at the SRC is a direct result of the state's imperative that agencies seek more cost-effective means of retaining records that have not yet met retention requirements. The SRC has proven to be more cost-effective than commercial storage, savings user agencies over \$600,000 per year over non-state vendors. As a result, agencies are requesting TSLAC services, and due to this increased demand, SRC will reach storage capacity in existing facilities by 12/19, leaving agencies without a cost-effective and long-term alternative. Without an immediate solution for relief storage capacity until more space can be built, customer agencies will need to manage contracts with multiple storage vendors, including current customers who have only used the State Records Center for storage. Some agencies may seek funding to open and operate their own records storage facilities.

In addition to cost savings, the SRC requires all records stored to be tied to the agency's retention schedule and thus encourages agencies to destroy records that have met their retention (thus decreasing potential liability). SRC also returns records to agencies within a half-day of request to fulfill public information request or provide information for legal or audit purposes.

To provide timely circulation services for stored records requires acquiring space within Austin or no more than 5 miles from the city limits. Lease space is at a premium in the Austin market and continues to rise. Renovating state space provides the most-effective solution, as it is based on one-time costs for the state, offers a fast short-term solution, and forms part of a broader 20-year growth plan that

maximizes the use of the Shoal Creek facility. Leasing from a private would likely only be sustainable for 5 years and would negate the benefits of one-time renovation investment that would be useable into the future.

Item Name: Implementing Gartner recommendations to ensure security of agency IT and physical assets

Item Priority: 3

Total requested: \$1,209,944

Description/Justification:

In 2015, Gartner Consulting, commissioned by the Texas Department of Information Resources, completed a security assessment of TSLAC IT infrastructure and developed a set of recommendations designed to elevate our security posture to a new State of Texas standards. The report identified a total of 22 recommendations to be implemented over two biennia. Agency IT staff carefully reviewed the recommendations and identified those that could be implemented with existing agency resources. Staff worked closely with the agency's commission to review the remaining recommendations and to formulate this exceptional item request. Among the most urgent recommendations of the report is the need to hire an Information Security Officer (ISO) for the agency, a position that has not previously existed. The report also identified other infrastructure security enhancements that can be addressed through hardware and software solutions or through managed services. In all, the Gartner Report recommended a total cost of \$2,350,000 for the additional staff and other required security enhancements. Through effective use of available resources, the agency has reduced this request to \$1,200,000 for the biennium. The agency is responsible for securing the archival record of the state of Texas which contains large amounts of Personally Identifiable Information and other materials considered confidential under Texas statute. Breach of these resources, many of which are in digital format, would represent a significant liability to the state.

Internal/External Factors:

Adequate information security requires layers of security controls at the data center, at the agency as well as the security expertise to implement these solutions. Having security staff and the recommended security systems in place at the agency will ensure that the agency's perimeter is properly safeguarded and that when they do occur, security incidents can be quickly addressed so that the availability, integrity, and confidentiality of the library's information resources can be maintained, and the citizens of Texas can be confident in using the information they receive from us. The data center and our business partners expect that the agency will have adequate security resources and expertise to participate in the proactive prevention of security incidents.

The requested resources will allow the agency to employ an ISO and a Security Analyst and to put in place and properly administer automated security solutions to protect agency resources according to the recommendations of the Gartner Report.

Item Name: Targeted salary adjustments

Item Priority: 5

Total Requested: \$400,000

Description/Justification:

Effective recruitment and retention of a qualified workforce is critical to TSLAC's ability to discharge mandated duties. Seventy-five percent of all TSLAC positions pay less than the median of the state salary range. As the economy of Texas—particularly in the Austin area—continues to grow and thrive, it is becoming increasingly difficult to recruit and retain qualified personnel for key positions. Salaries at TSLAC for mission-critical positions such as librarian, archivist, director, manager, accountant, program manager, program supervisor, and director lag significantly behind both the midpoint of the state's

salary range and the benchmark market rate set for the positions by the State Auditor's Office. It often takes the agency months to fill key positions. The position of Purchaser, for example, has been open for months with few qualified candidates that are within the hiring range of the agency. The positions for which we are requesting funds for a market adjustment are specialized jobs that require unique training and experience. They are positions that are integral to the core functions of the agency and sometimes unique to the agency.

External/Internal Factors:

This exceptional item seeks to bring 57 of 158 of total TSLAC positions (36%) closer to the median of their state salary range. The funds requested are not even sufficient to bring all these positions to the median but would greatly improve the ability of the agency to hire the persons with the education and experience needed to discharge key responsibilities of the agency. The positions targeted for market adjustments include: Archivist, Librarian, Program Specialist (including primarily government information analysts in State and Local Records Management and reader consultant specialists in the Talking Book Program), Program Supervisor, Manager, Purchaser, and Accountant. Librarian III's in at TSLAC earn on average 8% below the state average. Program Specialist I's earn 5.7% below the state average and Program Specialist III's earn nearly 13% below the state average. TSLAC's two Accountant III's average 10% less than the state average and Accountant IV's earn 6.5% less than in other agencies. These disparities make it ever harder to retain qualified personnel as reflected in the agency's rising turnover rate. From 2014 to 2017, when the statewide turnover rate rose 1.1% from 17.5 to 18.6%, the turnover rate at TSLAC rose three times faster, 3.3%, from 10.1 to 13.%. Of these voluntary separations are 68%, much higher than the statewide average of 59.7% and the leading cause cited is higher pay and benefits.

Appendix B



TEXAS DEPARTMENT OF INFORMATION RESOURCES

P.O. Box 13564 ♦ Austin, TX 78711-3564 ♦ www.dir.texas.gov
Tel: (512) 475-4700 ♦ Fax: (512) 475-4759

STACEY NAPIER
Executive Director

June 22, 2018



Ms. Stacey Napier
Executive Director
Department of Information Resources
300 W. 15th St. , Ste. 1300
Austin, Texas, 78711-3564

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DIRECTORS



BEN GATZKE
Presiding Officer

Dear Ms. Napier, *Stacey*,

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In 2016, the State Agency Coordinating Committee (SACC) created the Records Management Subcommittee to serve as subject matter experts and advisors for the SACC regarding records and information management legislation, issues, and topics with cross-agency implications. You are receiving this letter because your agency is a member of the SACC. Through collaboration and research, the Records Management Subcommittee has developed the following recommendations for SACC member agencies to help agency Records Management (RM) programs to operate most efficiently, effectively, and in compliance with laws and requirements. As the current Chair of the SACC, I am asking for your support in fulfilling these three recommendations at your agency.

- **Increase cross-departmental engagement and coordination with agency Records Management Officers (RMOs).** RM is most effective when included from the beginning of all business processes. RM content should be included in agency policies and mandatory new employee trainings. RM duties for all agency employees should be clearly defined as part of employees' job descriptions. RM standards should be incorporated into requirements language for electronic application and system procurements and into vendor requirements in contracts for services.
- **Recognize the role of RM in the individual agency.** The RM program requires full-time, dedicated staff to be effective. The RM Subcommittee requests that SACC and Records Management Interagency Coordinating Council (RMICC) endorse the Texas State Library and Archives Commission's recommendation to the State Auditor's Office to establish a job classification series specific to RM professionals.
- **Support RM's efforts to keep your agency current.** The landscape of RM changes frequently along with rapidly changing technology. To stay relevant, agency policies must use modern language to talk about RM processes and solutions. Agencies should support ongoing RM training for all staff, but especially for RM professionals. RM professionals must stay abreast of the latest developments in the field to operate RM programs efficiently, effectively, and in compliance with laws and requirements. The Texas State Library and Archives Commission and the

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S. Napier
DIR
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Department of Information Resources partner to offer the annual e-Records Conference in the fall. Agencies should help support and promote the annual e-Records Conference to offer continuing education for technology and RM professionals in the context of Texas government and to network with other technology and RM professionals.

The Subcommittee sees these actions as the foundation of a strong RM culture in state agencies and the first steps toward achieving the benefits of robust and compliant RM programs. Thank you for your consideration and support.

Sincerely,



Todd Kimbriel
Chairman State Agency Coordinating Council
Deputy Executive Director,
Texas Department of Information Resources



Margaret Hermesmeier
Chairman Records Management Interagency Council
Margaret Hermesmeier, IGP, CRM
Division Chief
Information Governance and Logistical Operations Division
Office of the Attorney General of Texas

Bryan W. Shaw, Ph.D., P.E., *Chairman*
Toby Baker, *Commissioner*
Jon Niemann, *Commissioner*
Stephanie Bergeron Perdue, *Interim Executive Director*



TEXAS COMMISSION ON ENVIRONMENTAL QUALITY

Protecting Texas by Reducing and Preventing Pollution

July 19, 2018

Todd Kimbriel
Chairman State Agency Coordinating Council
Deputy Executive Director,
Texas Department of Information Resources

Margaret Hermesmeier, IGP, CRM
Chairman Records Management Interagency Council
Division Chief
Information Governance and Logistical Operations Division
Office of the Attorney General

Dear Mr. Kimbriel and Ms. Hermesmeier:

Thank you for your June 22, 2018 letter concerning collaboration and coordination between State Agency Coordinating Committee (SACC) member agencies on Records Management (RM) programs.

The Texas Commission on Environmental Quality (TCEQ) believes it is essential for agencies to have robust records management programs, and it is equally important to have buy-in at the highest levels of management. At TCEQ, directors and deputy directors serve as records administrators and liaisons. The agency has a Records Management policy, website and detailed manual that address records management in traditional and electronic formats.

All new employees attend RM training within 30 days of their start date, and several employees whose primary functions include records management attend the annual e-Records conference. The agency's Central File Room is staffed by experienced contractors and serves as a force-multiplier as we advance our program.

Even with a robust program, TCEQ recognizes that this field is continuously evolving. We look forward to working in collaboration with you and the other SACC member agencies to advance agency RM programs, and improve effectiveness, efficiency and compliance.

Sincerely,

A handwritten signature in black ink that reads "Stephanie Bergeron Perdue".

Stephanie Bergeron Perdue
Interim Executive Director



Life's better outside.®

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Kelcy L. Warren
Dallas

Lee M. Bass
Chairman-Emeritus
Fort Worth

Carter P. Smith
Executive Director

July 5, 2018

Mr. Todd Kimbriel, Chairman
State Agency Coordinating Council
Texas Department of Information Resources
Post Office Box 13564
Austin, Texas 78711-3564

Ms. Margaret Hermesmeier, IGP, CRM
Division Chief
Office of the Attorney General of Texas
209 West 14th Street
Post Office Box 12548
Austin, Texas 78711-2548

Dear Mr. Kimbriel and Ms. Hermesmeier:

This letter is in response to your letter dated June 22, 2018, concerning the State Agency Coordinating Committee (SACC) and the Records Management Subcommittee and their work in making recommendations to SACC member agencies regarding records management (RM) programs. At the Texas Parks and Wildlife Department (TPWD), we fully support the three recommendations as outlined by the subcommittee, noted below:

- **Increase cross-departmental engagement and coordination with agency Records Management Officers (RMOs).** Our RM team has offered RM training on a quarterly basis to specific divisional units, records liaisons and to individual staff on an as-needed basis. One of the goals of TPWD RM staff and our newly-created Support Resources Division is to collaborate with the Human Resources (HR) training team to provide introduction to RM training to all incoming staff and to provide a variety of RM training in either class presentation or online module form. In addition, recent discussions with the RM team and our colleagues in the Information Technology (IT) Division have been held to bring the RM team into the early stages of discussion when new software systems are being discussed and when vendors are being hired, so that RM issues are addressed at the beginning of any technology project. This collaboration will continue.
- **Recognize the role of RM in the individual agency.** TPWD RM staff have had ongoing discussions with our HR classification team regarding the need for support of a reclassification of RM staff and professionals within the agency. This would bring more definition and acknowledgement to these positions and to the RM program, as well as encourage the practice of information and records management within the agency. We support the efforts of the Texas State Library and Archives Commission (TSLAC) in their work to establish a job classification series specific to RM professionals.

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To manage and conserve the natural and cultural resources of Texas and to provide hunting, fishing and outdoor recreation opportunities for the use and enjoyment of present and future generations.

Mr. Todd Kimbriel
Ms. Hermesmeyer
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July 5, 2018

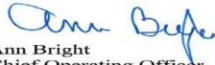
- **Support RM's efforts to keep our agency current.** We have begun collaborative efforts with our IT staff to discuss and recognize the Electronic Records Standards and Procedures (TSLAC Bulletin Number 1) produced by the Texas State Library and Archives Commission. It is our hope that this team effort will strengthen and enforce our current digital storage and electronic records policies. Our RM team has attended, and will continue to attend, the annual e-Records Conference and other training offered to keep abreast of the changes and challenges that technology brings to the RM profession. Staff training is a vital part of keeping current in compliance and regulation standards, as well as maintaining knowledge of best practice. The TPWD RM staff has attended the annual DIR/TSLAC since its establishment in order to keep TPWD staff apprised of these standards and practices within the ever-changing landscape of technology. TPWD management will continue to encourage this attendance as well as utilizing other educational opportunities in this field – not only to benefit the continuing education of RM staff but for the betterment of the agency as a whole.

In addition to the information above, the RM program branch has recently been repositioned under the newly-established Support Services Division of TPWD, reporting to the Chief Operating Officer, as well as to the Support Resources Division Director. This placement allows for RM staff to be part of a team that provides expertise and supports agency staff on a variety of compliance-related issues.

If you have questions or need clarification regarding this information, please direct them to Mr. Scott E. Stover, Director of Support Resources, at (512) 389-4849 or email scott.stover@tpwd.texas.gov. Mr. Stover will coordinate a timely agency response.

Again, we appreciate the efforts of the SACC and the Records Management Subcommittee. Please do not hesitate to contact me directly if you have any concerns. Thank you.

Sincerely,



Ann Bright
Chief Operating Officer

AB:SES:cb

cc: Mr. Carter Smith
Mr. George Rios
Mr. Scott E. Stover