Records Management
Interagency Coordinating Council

Biennial Report

2021-2022

Submitted to the
Office of the Governor and Texas State Legislature

by

The Records Management Interagency Coordinating Council

November 1, 2022

COUNCIL MEMBERS AND DELEGATES

Chair
**April Norris, Director, Information Governance Division
and Records Management Officer**
Office of the Attorney General
Representing the State Attorney General (permanent, voting member)

Vice-Chair
Vincent Houston, Director, Administrative Services Division
Office of the Secretary of State
Representing the Secretary of State (permanent, voting member)

Christi Koenig Brisky, **Assistant General Counsel**
Department of Information Resources
Representing the Department of Information Resources (permanent, voting member)

Dawn Crane, Records Management Officer
Office of the Comptroller of Public Accounts
Representing the Comptroller of Public Accounts (permanent, voting member)

Craig Kelso, Director, State and Local Records Management Division
Texas State Library and Archives Commission
Representing the Texas State Library and Archives Commission (permanent, voting member)

Michael Reagor, Audit Research Specialist
Texas State Auditor's Office
Representing the State Auditor (permanent, non-voting member)

Brandon Harris, Chief Information Officer and Records Management Officer
Railroad Commission of Texas
Representing an IRM seat on the council (auxiliary, voting member)

Jeff Peden, Deputy Chief Information Officer
Texas Workforce Commission
Representing an IRM seat on the council (auxiliary, voting member)

Linda Reynolds, Director, East Texas Research Center
Stephen F. Austin State University
Representing the higher education seat on the council (auxiliary, voting member)

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This biennial report details recommendations, initiatives, activities, and history of the Texas State Records Management Interagency Coordinating Council.

PART I: EXECUTIVE SUMMARY

The Records Management Interagency Coordinating Council (RMICC or the Council) is charged with reviewing the activities of member agencies that affect the management of state records, studying other records management issues, and reporting its findings and any recommended legislation to the governor and legislature in even-numbered years.[1] The Council 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.[2] The Council meets at least four times per year.[3]

During the 2020-2021 reporting period, RMICC focused on three initiatives:
1. Improving the RMICC public website;
2. Reforming Council recordkeeping practices; and
3. Creating the RMICC Archival Records Collection in the Texas State Archives.

These strategic initiatives support the Council's ability to meet its statutory responsilbities. Further, RMICC continued its collaboration with the Texas State Library and Archives Commission and the State Agency Coordinating Committee's Records and Information Management Subcommittee to identify, communicate, and support opportunities for improvements across state agency records management programs.

Recommendations to Improve State Records Management Programs

RMICC offers strategic recommendations to the Legislature, state agencies, and the Texas State Library and Archives Commission to improve governmental records management programs across the state.

To the Legislature

RMICC supports the following Texas State Library and Archives Commission's Exceptional Item Request for the 2023-2024 Legislative Appropriation:

- State Records Center Expansion – Construction.

   This exceptional item request would fund the construction of a 60,000 square-foot expansion of the State Records Center located in Austin, Texas. This expansion would create approximately 180,000 cubic feet of storage space, enough to meet the state's need for records and archives storage for a minimum of 25 years or longer should the pace of record digitization continue to increase.

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[1] Texas Government Code §441.203. Records Management Interagency Coordinating Council.
[2] Texas Government Code §441.203 (f-g).
[3] 13 TAC §50.5. Records Management Interagency Coordinating Council, Council Procedures, Meetings.

To State Agencies

RMICC proposes the following recommendation to state agencies in support of their continued efforts to ensure state records and information are efficiently and effectively managed:

- Expand and strengthen electronic records management partnerships.

  The passing of Senate Bill (SB) 475 during the 87th Regular Session marked a continued awareness by the Legislature of the significance records and information have in carrying out governmental responsibilities and services. While SB 475 introduced many new data management requirements, it also mandated that state agencies of a certain size designate a Data Management Officer. As specified in the bill, agencies should foster a strong, collaborative partnership between the Records Management Officer (RMO) and the Data Management Officer (DMO) to strengthen the agencies' ability to build a comprehensive and sustainable information governance strategy.

To the Texas State Library and Archives Commission

RMICC renews the following recommendations made in its 2019 – 2020 biennial report to TSLAC in support of the agency's continued efforts to assist state officials with services, training, resources, and guidelines to ensure government records are appropriately managed:

- Provide competitive records digitization service options,

  The state's response to the COVID-19 pandemic emphasized the need for reliable and secure access to electronic records. Accepting that records management is a function of a sustainable business continuity (COOP) plan and that telecommuting has become a sustainable, cost-saving option for agencies, RMICC recommends that TSLAC:

  - Leverage the authorized advertising services allowed by Texas Government Code § 441.006(6) to inform agencies of available imaging services through virtual forums, social media, and an additional FAQ to TSLAC's imaging webpage.

  - Upgrade current records digitization equipment and services to expand TSLAC's capabilities to digitize microfilm records.

- Continue investing in virtual training options for government records management professionals.

  To align with the state's response to the COVID-19 pandemic, TSLAC pivoted from an in-person training format to providing web-accessible records management training options. In support of this impactful and valuable transition to providing virtual training, RMICC recommends that TSLAC:

  - Continue to invest in virtual training options for state agencies as this training provides cost-effective opportunities for Records Management Officers and other state records management practitioners to expand their professional knowledge.

- o Expand its collaboration with state agency RMOs to encourage the sharing of practical records management knowledge and experience with other records management professionals and agency DMOs.

This report details the recommendations, initiatives, activities, and history of RMICC. We encourage review of the full report for detailed information regarding the work of the Council.

PART II: COUNCIL RECOMMENDATIONS

The Records Management Interagency Coordinating Council (RMICC) offers several strategic recommendations to the Legislature, state agencies, and the Texas State Library and Archives Commission (TSLAC) to improve governmental records management programs across the state.

Recommendations to the Legislature

RMICC supports the following Texas State Library and Archives Commission's Exceptional Item Request for the 2023-2024 Legislative Appropriation:[4]

State Records Center Expansion - Construction

This exceptional item addresses construction, fixtures, furniture, and equipment costs.

This exceptional item request would allow for the construction of a 60,000 square-foot expansion of the State Records Center located in Austin, Texas. This expansion would create approximately 180,000 cubic feet of storage space, enough to meet the state's need for records and archives storage for a minimum of 25 years, or longer if the pace of record digitization continues to increase.

The Legislature mandates that TSLAC offer state agencies a cost-effective solution to records storage and to preserve and maintain the archives of the state of Texas. At the current pace of new incoming records, TSLAC will run out of available space to store records and archives in five years. A study required by the 86th Regular Session confirmed that expansion of the State Records Center is the most economical plan for records storage. During the 86th Legislature, TSLAC received appropriated funds to provide a short-term solution to record storage needs.

The State Records Center currently houses the records of 81 state agencies. This comprises a small percentage of those agencies' records not in digital format and not easily or inexpensively convertible to digital format. Examples of paper records that are not easily convertible to digital files include litigation files, parolee files, facility and home health licensing and certification files, and non-capital habeas corpus files. These paper records account for a significant portion of records stored at the State Records Center.

The expansion would 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).

Recommendations to State Agencies

The COVID-19 pandemic required state government to undergo significant transformations in organizational administration and delivery of services. Agency leaders had to reconsider key elements of business continuity and the vital role records management plays in providing the essential services of government. A well-executed records management program is a powerful

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[4] See Appendix A for additional details on the TSLAC Legislative Appropriations Request exceptional items.

tactical tool as it expedites secure control of and access to mission critical information, increasing government's agility and responsiveness during demanding circumstances.

Expand and strengthen electronic records management partnerships

The passage of SB 475 during the 87th legislative session marked a continued awareness by the Legislature of the significance records and information have in carrying out governmental responsibilities and services. While SB 475 introduced many new data management requirements, it also mandated that state agencies of a certain size designate a DMO. As specified in the bill, agencies should foster a strong, collaborative partnership between the RMO and the DMO to strengthen the agencies' ability to build a comprehensive and sustainable information governance strategy.[5]

Recommendations to the Texas State Library and Archives Commission

RMICC renews the following recommendations made in its 2019 – 2020 biennial report to TSLAC in support of the agency's continued efforts to assist state officials with services, training, resources, and guidelines to ensure government records are appropriately managed:

Provide competitive records digitization service options

During the previous biennium, TSLAC upgraded several pieces of records digitization equipment, implemented a new image-capture software, and implemented a secure portal for transferring electronic records. These operational enhancements provided TSLAC the ability to quickly scan large-format paper records, allowing agencies to manage and access these records more efficiently via electronic format.

Further, the state's response to the COVID-19 pandemic, which included a significant transition from conventional office work to telecommuting scenarios for many state agencies, highlighted the need for reliable and secure access to electronic records. Ensuring the delivery of essential services to the residents of Texas requires state agencies to have access to essential business records. Accepting that records management is a function of a sustainable business continuity plan, and that telecommuting has become a cost-saving option for many agencies, RMICC recommends that TSLAC:

- Leverage the authorized advertising services allowed by Texas Government Code §441.006(6) to inform agencies of available imaging services through virtual forums, social media, and an additional FAQ to TSLAC's imaging webpage.

- Upgrade current records digitization equipment and services to expand the agency's capabilities to digitize microfilm records.

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[5] Act of May 25, 2021, 87th Leg., R.S., ch. 567, § 4 (codified at Tex. Gov't Code § 2054.137).

Continue investing in virtual training options for government records professionals

Prior to virtual training, TSLAC provided in-person records management training to individual state agencies upon request. To align with the state's response to the COVID-19 pandemic, TSLAC pivoted from providing in-person records management training to improving and expanding web-accessible training options. Using web and video conferencing solutions, TSLAC has steadily provided virtual training to state officials since August 2020, and currently has virtual training offerings scheduled through the end of 2022. In support of this impactful and valuable transition to providing virtual training, RMICC recommends that TSLAC:

- Continue to invest in virtual training options for state agencies as this training provides cost-effective opportunities for RMOs and other state records management professionals to expand and grow their professional knowledge.

- Expand the agency's collaboration with state RMOs to encourage the sharing of practical records management knowledge and experience with other records management professionals and agency DMOs.

PART III: COUNCIL INITIATIVES AND ACTIVITIES

During the 2020-2021 reporting period, RMICC focused on three council initiatives:
1. Improving the RMICC public website;
2. Reforming Council recordkeeping practices; and
3. Creating the RMICC Archival Records Collection in the Texas State Archives.
These strategic initiatives support the Council's ability to meet its statutory responsilbities. Further, RMICC continued to coordinate with the Texas State Library and Archives Commission and the State Agency Coordinating Committee's Records and Information Management Subcommittee to identify, communicate, and support opportunities for improvements across state agency records management programs.

Improve the RMICC Public Website

The Council recognizes the importance of maintaining a web presence that facilitates accountability and transparency of council activities. The council's website provides public access to council bylaws and membership, meeting minutes, reports, and other publications pertinent to state records management. Further, the current website acts as a digital storage solution for the council's permanent retention and archival records, such as meeting minutes and biennial reports.

By deciding to modernize the current RMICC website, several logistical matters became evident and required solutions prior to the consideration of any cosmetic updates and/or expansions of web-based collaboration options. For example, the Secretary of State (SOS) currently provides webhosting and administrative support services for the RMICC website. While SOS has been a reliable partner in this regard, the website is being relocated and will be hosted by the Department on Information Resources (DIR) to achieve the council's modernization plan.

Further, as an interagency council that is not statutorily organized under the fiscal obligation of any one member agency, additional matters of domain and security licensing had to be considered and coordinated prior to the move. The relocation is scheduled to be completed by the end of 2022.

Lastly, while the current size of the RMICC website is modest, the council acknowledges that a webserver is not an appropriate solution for long-term digital storage of retention and archival records. Therefore, the council decided to capitalize on the need to arrange for a more appropriate records storage solution by launching the two additional corresponding initiatives described below.

Reform RMICC Recordkeeping Practices

As a governmental body, RMICC has the responsibility to meet the records management requirements of both the Open Meetings Act (Act) and the Texas State Library and Archives Commission State Records Retention Schedule. The Act instructs governmental entities in the types of records that must or should be created when hosting an open meeting of a governmental body and TSLAC establishes required minimum retention periods for those records.

Of the records that are created by RMICC's activities, a small but important selection of them is designated by TSLAC as having a permanent retention. RMICC is coordinating with TSLAC (as a member-agency of RMICC) to provide appropriate legal retention and technical storage for RMICC's records. This coordinated activity will allow RMICC to limit website maintenance and storage costs by hosting recent and relative records online and provide a program that ensures appropriate management of council records.

Create the RMICC Archival Records Collection in the Texas State Archives

As documented on the Texas State Records Retention Schedule, TSLAC identifies several types of open meetings records created by governmental bodies as having enduring historical value to the state.[6] To comply with TSLAC's requirements, the council is coordinating with the Texas State Archives of the Texas State Library and Archives Commission to create an archival collection of council records. The archival collection is being developed as a hybrid collection including both paper and digital records, with the digital component hosted as part of the Texas Digital Archive.

The creation of an archival collection, especially with a digital element, provides direct public access to official council records. Additionally, placing archival records in the care of professional archivists ensures that these historically valuable records receive expert attention and care.

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[6] Texas State Records Retention Schedule, 5th Edition. 13 TAC §6.10. https://www.tsl.texas.gov/slrm/rrs

SACC Records Management Subcommittee

In 2016, RMICC and TSLAC collaborated to advocate for the creation of a Records Management Subcommittee under the State Agency Coordinating Committee (SACC). The primary purpose of the State Agency Coordinating Committee is to examine administrative and management practices, opportunities for improvement, potential risks areas, and other issues with relevance across agency lines. SACC members discuss and share information regarding best practices, technology solutions, and other ideas considered beneficial and cost-effective for state agencies and stakeholders. In furtherance of this purpose, the Records and Information Management Subcommittee was established to serve as subject matter experts and advisors for SACC regarding records and information management legislation, issues, and topics with cross-agency implications and impacts. The subcommittee also offers a forum for mutually beneficial knowledge sharing among agencies, and an opportunity for agencies to identify common issues and develop potential solutions.

In March 2021, the subcommittee was approved by SACC to update its name from the Records Management Subcommittee (SACCRM) to the Records and Information Management Subcommittee (SACCRIM).

RMICC maintains a primary role on the SACCRIM.[7] With the approval of the new SACCRIM bylaws (effective August 2022), both the RMICC and TSLAC member roles have the option to vote or abstain as appropriate. Council participation includes attending monthly subcommittee meetings, contributing to subcommittee initiatives, and providing coordination between the subcommittee and RMICC activities.

Subcommittee Activities

During the 2021-2022 reporting period, a primary focus of the subcommittee's activities was monitoring the 87th Session of the Texas Legislature for proposed legislation impacting records management. The most notable legislation passed was Senate Bill 475 (SB 475), which established the new role of DMO at most state agencies and outlined requirements for collaboration between the DMO and an agency's records management and information security programs. With the bill's passage, subcommittee meetings have included discussions on how agencies are implementing the bill with attention given to how records management professionals (i.e., RMOs) are navigating the intersection and overlap of responsibilities between them and the new DMO role, the Open Data Portal, and requirements for data collection consent records in Texas Government Code Chapter 2062.

Additionally, the subcommittee focused on producing and disseminating new educational resources to support the professional development of state records management practitioners. At the June 2022 RMICC meeting, subcommittee representatives presented to RMICC members and attendees the subcommittee's first two educational resources: Records Management Training Priorities and Email Management (see appendices C and D). To support SACCRIM's educational initiative, facilitate dissemination of the material, and honor the collaborative

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[7] See Appendix B for a full listing of SACCRIM members.

relationship between SACCRIM and RMICC, RMICC voted to host both resources on the RMICC website.

In November 2021, subcommittee members Christi Koenig Brisky (DIR & RMICC Member), Jenny Alexander (Health and Human Services Commission), Talj Harper (Department of Family and Protective Services), and Lena Roberts (Texas Commission on Environmental Quality) presented "Diving into the Future: Questions and Opportunities in a Rapidly Changing RIM World" at the annual eRecords Conference jointly hosted by the Texas State Library and Archives Commission and the Department of Information Resources. The panel focused on records management challenges and opportunities experienced as a result of the COVID-19 pandemic, including the rapid transition to remote work and digital processes, as well as strategies for improving policies and collaboration with internal partners. The panel was well received; attendees gave it an average score of 8.6 out of ten on the post-conference evaluations.

The Records and Information Management Subcommittee chair provided subcommittee activity updates to the SACC and RMICC at scheduled meetings.

Subcommittee Future Objectives and Activities

SACCRIM will focus primarily on monitoring the 88th Session of the Texas Legislature for proposed legislation with records and information management impact. Additionally, SACCRIM will complete its third educational resource on the topic of managing records in a hybrid/teleworking environment. Elections for the Chair and Secretary positions were held in August 2022.

RMICC will continue to participate as subject matter experts and resources for the subcommittee.

PART IV: COUNCIL HISTORY

The Council was established in 1995 by Senate Bill 366 of the 74th Legislature. RMICC replaced the State Library and Archives Commission's Records Management and Preservation Advisory Committee, which was abolished by the same act. During the 75th Legislature, RMICC's responsibilities were expanded to implement Senate Bill 897, which included a directive to study electronic records. During the 78th Legislature in 2003, RMICC's membership was revised to include the addition of one faculty member of a public senior college or university and two executive branch state agency information resource managers. In 2007, the Texas Building and Procurement Commission was removed from the Council's membership in accordance with House Bill 3560 of the 80th Legislature.

Composition, Statutory Charges, Mission and Goals

As of 2022 the Council is composed of the following officers or officer's designee:

- the Attorney General;
- the Comptroller of Public Accounts;
- the Executive Director, Department of Information Resources;
- the Secretary of State;
- the Director and Librarian, State Library and Archives Commission;
- the State Auditor, who serves as a nonvoting member; and
- three auxiliary voting members appointed by the Council chair with the consent of a majority vote. The auxiliary voting members include;
    - 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
    - two individuals who serve as information resources managers, under the Government Code, § 2054.071, for state agencies in the executive branch of government.

As assigned by Government Code, § 441.203(e)1-3, the Council is charged to:

- review the activities of each member agency that affect the state's management of records,
- study other records management issues, and
- report the Council's findings and any recommended legislation to the governor and the Legislature.

The Council's mission statement specifies that the council will coordinate 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.

The Council seeks to realize this mission by:

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

History and Accomplishments

The organizing meeting of RMICC was held on November 30, 1995. For nearly 30 years, in collaboration with state agencies and state universities, RMICC has published biennial reports, special project reports, and fostered formation of records management focus groups including:

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

Role in Current and Future State Government Records Management

The member agencies of RMICC represent major guiding forces in state government. These member agencies have vested interests in their own and other agencies' records management practices. Each member of RMICC contributes to a balanced and informed view of records management in Texas government today. Working together, RMICC's members provide necessary and unique perspectives to current and future records management challenges and solutions as seen in the following examples.

The Texas Department of Information Resources (DIR) delivers technology solutions to state and local government entities. These solutions include offering purchasing support and policy insights so organizations across all levels of Texas government can find and securely implement modern technology. DIR sets the strategic direction for information technologies statewide through policies and guidance, analyzing cybersecurity risks and solutions, and creating a dynamic online community for knowledge sharing. DIR is also responsible for administering rules found in the Texas Administrative Code for technology and cybersecurity issues that impact and interact with digital records management.

The Office of the Attorney General provides 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.

The Comptroller of Public Accounts 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., Centralized Accounting and Payroll/Personnel System [CAPPS], Unified Statewide Accounting System

[USAS], Unified Statewide Payroll/Personnel System [USPS], State Property Accounting [SPA], and Human Resource Information System [HRIS]) affect agencies' records and retention schedules.

The State Auditor's Office is the independent auditor for Texas state government. They serve as a nonvoting member of RMICC to identify and monitor potential records issues at state agencies and to ensure records remain accessible for audit purposes.

The Texas Secretary of State is a constitutional officer of the executive branch of state government and provides a repository for official and business and commercial records required to be filed with the Office. The Texas Constitution requires the Secretary of State to "keep a fair register of all official acts and proceedings of the Governor" and to provide these to the legislature when required.

The Secretary of State duties relating to records retention include the following: maintaining a register of all official acts and proceedings of the governor, and all appointments to state boards and commissions; many business-related filings, including corporation and Uniform Commercial Code filings.

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 on 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.

Three **auxiliary voting members** consisting of one public higher education representative and two Information Resources Managers (IRM) provide invaluable and informative perspectives to the work of the council. These members compliment the contributions of the permanent members by ensuring that educational and technological considerations are represented in council inquiries and recommendations.

Appendix A

Texas State Library and Archives Commission
2023-2024 Legislative Appropriations Request
Exceptional Items

Item Name: Records Center Expansion Construction
Item Priority: 5
Total request: $51,046,408.00

Description/Justification:
This item will construct a 60,000 square-foot expansion to the State Records Center and provide at least a 20-year solution to the state's need for records and archives storage. TSLAC is mandated by the state to offer a cost-effective solution to records storage and to preserve and maintain the archival record of the state. The State Records Center on Shoal Creek is quickly reaching capacity. In the 86th Legislature, TSLAC was allocated funds to provide a short-term solution to record storage needs. TSLAC was also directed to conduct a study to explore alternatives for records and archival storage solutions. That study determined that expansion of the State Records Center was the most cost-effective solution to the state's records and archival storage needs. Texas Government Code 441.182(a) &(e) requires the agency to operate a state records center. Sec. 441.181 requires preserving archival state records.

Efficient access to the records of state and local agencies is vital to ensure transparency in government and to ensure legal and financial accountability. Proper records management reduces liability and costs by shortening the time to locate records for daily operation. The State Records Center currently houses the records of 81 state agencies. 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.

External/Internal Factors:
Given the state budget situation, we are requesting appropriation for the entire project, to include the architectural fees necessary to design the expansion, construction costs,
and FF&E. This item reflects construction, fixtures, furniture, and equipment costs. Expansion of the State Records Center would address the state's need for adequate
archives storage space for at least the next 20-25 years.

Appendix B

SACC Records and Information Management Subcommittee Members as of August 2022:

Name	Agency	Role
Talj Harper	Department of Family and Protective Services	Primary; Vice Chair
TJ Wasden	Department of Family and Protective Services	Alternate
Christi Koenig Brisky	Department of Information Resources	Primary
Vacant	Department of Information Resources	Alternate
Sarah Hendricks	Department of Public Safety	Primary
Jessica Ballew	Department of Public Safety	Alternate
Jenny Alexander	Health and Human Services Commission	Primary; Chair
John Schooley	Health and Human Services Commission	Alternate
Cynthia Martinez	Health and Human Services Commission	Alternate
April Norris	Records Management Interagency Coordinating Council	Primary
Veronica Barnes	Texas Commission on Environmental Quality	Primary
Vacant	Texas Commission on Environmental Quality	Alternate
Carl Hazlewood	Texas Department of Criminal Justice	Primary
Carie Beaty	Texas Department of Criminal Justice	Alternate
Karin Hays	Texas Department of Insurance	Primary
Melissa Burkhart	Texas Department of Insurance	Alternate
Dana Colbert	Texas Education Agency	Primary
Montgomery Meitler	Texas Education Agency	Alternate
Jennifer Martin	Texas Juvenile Justice Department	Primary
Vacant	Texas Juvenile Justice Department	Alternate
Melissa Laneman	Texas Parks & Wildlife Department	Primary
Duston Crews	Texas Parks & Wildlife Department	Alternate
Craig Kelso	Texas State Library and Archives Commission	Primary
Joshua Clark	Texas State Library and Archives Commission	Alternate
Emilie Schulz	Texas Department of Transportation	Primary
Nohemi Ruiz	Texas Department of Transportation	Alternate
Michael Shea	Texas Workforce Commission	Primary
Gina Cervantes	Texas Workforce Commission	Alternate
Vacant	Texas Workforce Commission	Alternate

Appendix C

Disposition

Training objective: Participants will be able to determine the appropriate disposition for each type of agency record as well as understand and follow the agency processes for destruction, transfer, or permanent archiving of all types of records.

Statutes: Texas Government Code chapter 441.190.

• Introduce Internal procedures for disposition.
• Identify the agency units that generate potentially archival records and discuss internal procedures for the review and/or transfer of records to TSLAC.
• Discuss secure shredding vs. recycling and detail agency procedures for destruction of all records and the appropriate disposition of records media.

Records Management Training Priorities

Presented by the
State Agency Coordinating Committee
Records and Information Management Subcommittee

Records Management Life Cycle

Training objective: Participants will be able to understand and follow agency policy and processes surrounding creation, distribution, use, maintenance, and final disposition of records.

Statutes: Texas Government Code chapters 441.180, 441.187, and 441.190.

• Briefly explain Texas State Library and Archives Commission (TSLAC) authority and role in agency records management.
• Explain the definition of a record and classification according to function and who manages or "owns" the record copies of a series.
• Emphasize the records life cycle while planning at the business unit level--designate who will perform each action in the life cycle.
• Provide and explain best practices in managing documents during employee orientation and separation. Provide and explain best practices for use of file plans and naming conventions and include relevant examples from participant business units.

Communication Management

Training objective: Participants will be able to identify, maintain, and dispose of records that exist in communications media in compliance with agency policy and state records management law.

Statutes: Texas Government Code chapters 552.137, 441.180.

• Identify all avenues of communication the agency uses, and the purposes for use per agency policy.
• Define state records vs non-records; define transitory records.
• Share ways to capture and save all records in e-mail, instant messages, and text media.
• Review agency disposition process for communications media.

Retention Scheduling

Training objective: Participants will be able to locate records that they maintain on the agency retention schedule and follow the schedule's instructions for document disposition.

Statutes: Texas Government Code chapter 441.185, and other statutes, depending on agency and function.

• Review and define retention codes and how to calculate disposition dates.
• Emphasize relevant laws regarding types of records and mandatory retention.
• Promote and post the agency records retention schedule and map out places where unit records appear within the agency retention schedule.

Storage and Maintenance

Training objective: Participants will be able to identify and determine the appropriate use for all agency records storage media.

Statutes: Texas Government Code chapters 441.188, 441.189, 441.190.

• Identify all records repositories and records storage in the agency, and the purpose for each including off-site storage, locked cabinets and facilities, and portable storage.
• Provide best practices for the use of file plans and naming standards using examples from common agency work.
• Identify and integrate personal device policies.
• Explain agency disposition process for all types of storage media.

Appendix D

Bite-Sized eMail Management

Easy Stuff First: Records in email format are often buried in heaps of spam, junk ROT, and convenience copies. Sorting by subjects, keywords, and senders will serve to round up and delete dozens, or even hundreds of emails at a time. (Be sure to double delete for permanent removal and don't forget to attend to the sent mail folder as well!)

Schedule for Success: By dedicating ten minutes a day, staff can work towards a streamlined email account. Establish folders that reflect record series from the RRS as email subjects that align with those series are identified. By taking a measured and scheduled approach to email management, staff will move towards a managed email account without breaking the time-resource bank.

Email Management Education Project

Presented by the
State Agency Coordinating Committee
Records and Information Management Subcommittee

Connect

Your IT Department: Know and understand the policies that drive email at your agency. Auto deletion policy? Policy that no email (body or attachment) should contain records? Is there a policy to move all records off email to a shared drive, SharePoint or an ECM? Offer to pitch in on IT policy development as it relates to electronic records, to avoid conflicting policies.
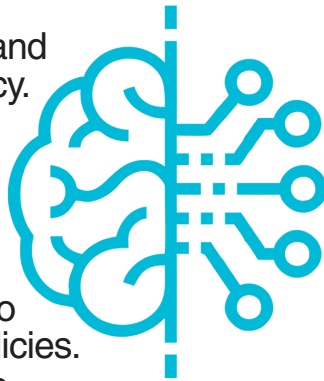
The Boss: Make sure your boss is aware that email management is critical in risk mitigation and the efficient retrieval of records. You will want a champion to pave the way to agency leadership buy in.

HR: Consider a one-page email management guide for staff as a part of their orientation materials. Bring up offboarding/termination policy in relation to email accounts.

Legal/Open Records: Enlist legal as a champion. Point out reducing emails through proper and systematic disposition will reduce volume to be reviewed in response to Public Information Requests and Subpoenas. This will reduce response risk, including information unfavorable to agency.

Elevator Speech: Prepare a 30 second (give or take) speech to discuss email records and include specific benefits of successful email management.

Train

Placeholder: Consider using TSLAC resources and other available online (free) tools related to general email management, until agency-specific resources are developed.

Written Resources: Email policies, Procedures to properly review email and dispose, Archiving, Moving to ECM/CMS/Shared location.

Less is More: Consider creating short subject videos and one page at-a-glance style resources to supplement more detailed information about email in larger manuals.

Avoid Records Management Lingo in Training: Your audience may have never heard the term "records management" before. Be consistent with any lingo you must use and consider including a short definition for unavoidable lingo.

Direct Staff Towards Success

Content: Repeat this message often: Email itself is a format, not a record type. The content of the email will determine if it is an official record.

Records Retention Schedule (RRS): Make it clear there is a connection to the RRS for email records, develop examples. Consider arranging your internal schedule by cost centers or departments.

Inbound email: Quickly act on every message – and then move the message to the appropriate folder for retention. Create folders with AIN/Eligible Disposition/Retention. Use "rules" in your email application to efficiently route email to specific folders.

Redundant, Obsolete, Trivial (ROT): Use the simple acronym to direct staff to sort, filter and eliminate junk.

Sent Mail: Remind staff that their sent mail folder is just as likely to contain state records as the inbox. Advocate for the use of smart subject lines, that clearly label content and will help staff manage their sent mail, and help internal recipients manage their inbox.

Advertise: Make it clear where resources are via email, meetings, common area posters or notices, word of mouth, Teams/Zoom, Sharepoint, newsletters, agency intranet, etc.

Offer your Assistance: Ensure staff know you are available to help with one-on-one training and assistance.